



# **Appendix 1**

## **IFC Handbook**



## Overview of Performance Standards on Environmental and Social Sustainability

1. IFC's Sustainability Framework articulates the Corporation's strategic commitment to sustainable development, and is an integral part of IFC's approach to risk management. The Sustainability Framework comprises IFC's Policy and Performance Standards on Environmental and Social Sustainability, and IFC's Access to Information Policy. The Policy on Environmental and Social Sustainability describes IFC's commitments, roles, and responsibilities related to environmental and social sustainability. IFC's Access to Information Policy reflects IFC's commitment to transparency and good governance on its operations, and outlines the Corporation's institutional disclosure obligations regarding its investment and advisory services. The Performance Standards are directed towards clients, providing guidance on how to identify risks and impacts, and are designed to help avoid, mitigate, and manage risks and impacts as a way of doing business in a sustainable way, including stakeholder engagement and disclosure obligations of the client in relation to project-level activities. In the case of its direct investments (including project and corporate finance provided through financial intermediaries), IFC requires its clients to apply the Performance Standards to manage environmental and social risks and impacts so that development opportunities are enhanced. IFC uses the Sustainability Framework along with other strategies, policies, and initiatives to direct the business activities of the Corporation in order to achieve its overall development objectives. The Performance Standards may also be applied by other financial institutions.

2. Together, the eight Performance Standards establish standards that the client<sup>1</sup> is to meet throughout the life of an investment by IFC:

Performance Standard 1:	Assessment and Management of Environmental and Social Risks and Impacts
Performance Standard 2:	Labor and Working Conditions
Performance Standard 3:	Resource Efficiency and Pollution Prevention
Performance Standard 4:	Community Health, Safety, and Security
Performance Standard 5:	Land Acquisition and Involuntary Resettlement
Performance Standard 6:	Biodiversity Conservation and Sustainable Management of Living Natural Resources
Performance Standard 7:	Indigenous Peoples
Performance Standard 8:	Cultural Heritage

3. Performance Standard 1 establishes the importance of (i) integrated assessment to identify the environmental and social impacts, risks, and opportunities of projects; (ii) effective community engagement through disclosure of project-related information and consultation with local communities on matters that directly affect them; and (iii) the client's management of environmental and social performance throughout the life of the project. Performance Standards 2 through 8 establish objectives and requirements to avoid, minimize, and where residual impacts remain, to compensate/offset for risks and impacts to workers, Affected Communities, and the environment. While all relevant environmental and social risks and potential impacts should be considered as part of the assessment, Performance Standards 2 through 8 describe potential environmental and social risks and impacts that require particular attention. Where environmental or social risks and impacts

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<sup>1</sup> The term "client" is used throughout the Performance Standards broadly to refer to the party responsible for implementing and operating the project that is being financed, or the recipient of the financing, depending on the project structure and type of financing. The term "project" is defined in Performance Standard 1.

are identified, the client is required to manage them through its Environmental and Social Management System (ESMS) consistent with Performance Standard 1.

4. Performance Standard 1 applies to all projects that have environmental and social risks and impacts. Depending on project circumstances, other Performance Standards may apply as well. The Performance Standards should be read together and cross-referenced as needed. The requirements section of each Performance Standard applies to all activities financed under the project, unless otherwise noted in the specific limitations described in each paragraph. Clients are encouraged to apply the ESMS developed under Performance Standard 1 to all their project activities, regardless of financing source. A number of cross-cutting topics such as climate change, gender, human rights, and water, are addressed across multiple Performance Standards.

5. In addition to meeting the requirements under the Performance Standards, clients must comply with applicable national law, including those laws implementing host country obligations under international law.

6. The World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines) are technical reference documents with general and industry-specific examples of good international industry practice. IFC uses the EHS Guidelines as a technical source of information during project appraisal. The EHS Guidelines contain the performance levels and measures that are normally acceptable to IFC, and that are generally considered to be achievable in new facilities at reasonable costs by existing technology. For IFC-financed projects, application of the EHS Guidelines to existing facilities may involve the establishment of site-specific targets with an appropriate timetable for achieving them. The environmental assessment process may recommend alternative (higher or lower) levels or measures, which, if acceptable to IFC, become project- or site-specific requirements. The General EHS Guideline contains information on cross-cutting environmental, health, and safety issues potentially applicable to all industry sectors. It should be used together with the relevant industry sector guideline(s). The EHS Guidelines may be occasionally updated.

7. When host country regulations differ from the levels and measures presented in the EHS Guidelines, projects are expected to achieve whichever is more stringent. If less stringent levels or measures are appropriate in view of specific project circumstances, a full and detailed justification for any proposed alternatives is needed as part of the site-specific environmental assessment. This justification should demonstrate that the choice for any alternative performance level is protective of human health and the environment.

8. A set of eight Guidance Notes, corresponding to each Performance Standard, and an additional Interpretation Note on Financial Intermediaries offer guidance on the requirements contained in the Performance Standards, including reference materials, and on good sustainability practices to help clients improve project performance. These Guidance/Interpretation Notes may be occasionally updated.

### Introduction

1. Performance Standard 1 underscores the importance of managing environmental and social performance throughout the life of a project. An effective Environmental and Social Management System (ESMS) is a dynamic and continuous process initiated and supported by management, and involves engagement between the client, its workers, local communities directly affected by the project (the Affected Communities) and, where appropriate, other stakeholders.<sup>1</sup> Drawing on the elements of the established business management process of “plan, do, check, and act,” the ESMS entails a methodological approach to managing environmental and social risks<sup>2</sup> and impacts<sup>3</sup> in a structured way on an ongoing basis. A good ESMS appropriate to the nature and scale of the project promotes sound and sustainable environmental and social performance, and can lead to improved financial, social, and environmental outcomes.

2. At times, the assessment and management of certain environmental and social risks and impacts may be the responsibility of the government or other third parties over which the client does not have control or influence.<sup>4</sup> Examples of where this may happen include: (i) when early planning decisions are made by the government or third parties which affect the project site selection and/or design; and/or (ii) when specific actions directly related to the project are carried out by the government or third parties such as providing land for a project which may have previously involved the resettlement of communities or individuals and/or leading to loss of biodiversity. While the client cannot control these government or third party actions, an effective ESMS should identify the different entities involved and the roles they play, the corresponding risks they present to the client, and opportunities to collaborate with these third parties in order to help achieve environmental and social outcomes that are consistent with the Performance Standards. In addition, this Performance Standard supports the use of an effective grievance mechanism that can facilitate early indication of, and prompt remediation for those who believe that they have been harmed by a client's actions.

3. Business should respect human rights, which means to avoid infringing on the human rights of others and address adverse human rights impacts business may cause or contribute to. Each of the Performance Standards has elements related to human rights dimensions that a project may face in the course of its operations. Due diligence against these Performance Standards will enable the client to address many relevant human rights issues in its project.

### Objectives

- To identify and evaluate environmental and social risks and impacts of the project.
- To adopt a mitigation hierarchy to anticipate and avoid, or where avoidance is not possible, minimize,<sup>5</sup> and, where residual impacts remain, compensate/offset for risks and impacts to workers, Affected Communities, and the environment.

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<sup>1</sup> Other stakeholders are those not directly affected by the project but that have an interest in it. These could include national and local authorities, neighboring projects, and/or nongovernmental organizations.

<sup>2</sup> Environmental and social risk is a combination of the probability of certain hazard occurrences and the severity of impacts resulting from such an occurrence.

<sup>3</sup> Environmental and social impacts refer to any change, potential or actual, to (i) the physical, natural, or cultural environment, and (ii) impacts on surrounding community and workers, resulting from the business activity to be supported.

<sup>4</sup> Contractors retained by, or acting on behalf of the client(s), are considered to be under direct control of the client and not considered third parties for the purposes of this Performance Standard.

<sup>5</sup> Acceptable options to minimize will vary and include: abate, rectify, repair, and/or restore impacts, as appropriate. The risk and impact mitigation hierarchy is further discussed and specified in the context of Performance Standards 2 through 8, where relevant.

# Performance Standard 1

## Assessment and Management of Environmental and Social Risks and Impacts

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- To promote improved environmental and social performance of clients through the effective use of management systems.
- To ensure that grievances from Affected Communities and external communications from other stakeholders are responded to and managed appropriately.
- To promote and provide means for adequate engagement with Affected Communities throughout the project cycle on issues that could potentially affect them and to ensure that relevant environmental and social information is disclosed and disseminated.

### Scope of Application

4. This Performance Standard applies to business activities with environmental and/or social risks and/or impacts. For the purposes of this Performance Standard, the term “project” refers to a defined set of business activities, including those where specific physical elements, aspects, and facilities likely to generate risks and impacts, have yet to be identified.<sup>6</sup> Where applicable, this could include aspects from the early developmental stages through the entire life cycle (design, construction, commissioning, operation, decommissioning, closure or, where applicable, post-closure) of a physical asset.<sup>7</sup> The requirements of this Performance Standard apply to all business activities unless otherwise noted in the specific limitations described in each of the paragraphs below.

### Requirements

#### Environmental and Social Assessment and Management System

5. The client, in coordination with other responsible government agencies and third parties as appropriate,<sup>8</sup> will conduct a process of environmental and social assessment, and establish and maintain an ESMS appropriate to the nature and scale of the project and commensurate with the level of its environmental and social risks and impacts. The ESMS will incorporate the following elements: (i) policy; (ii) identification of risks and impacts; (iii) management programs; (iv) organizational capacity and competency; (v) emergency preparedness and response; (vi) stakeholder engagement; and (vii) monitoring and review.

#### Policy

6. The client will establish an overarching policy defining the environmental and social objectives and principles that guide the project to achieve sound environmental and social performance.<sup>9</sup> The policy provides a framework for the environmental and social assessment and management process, and specifies that the project (or business activities, as appropriate) will comply with the applicable laws and regulations of the jurisdictions in which it is being undertaken, including those laws implementing host country obligations under international law. The policy should be consistent with the principles of the Performance Standards. Under some circumstances, clients may also subscribe

<sup>6</sup> For example, corporate entities which have portfolios of existing physical assets, and/or intend to develop or acquire new facilities, and investment funds or financial intermediaries with existing portfolios of assets and/or which intend to invest in new facilities.

<sup>7</sup> Recognizing that this Performance Standard is used by a variety of financial institutions, investors, insurers, and owner/operators, each user should separately specify the business activities to which this Performance Standard should apply.

<sup>8</sup> That is, those parties legally obligated and responsible for assessing and managing specific risks and impacts (e.g., government-led resettlement).

<sup>9</sup> This requirement is a stand-alone, project-specific policy and is not intended to affect (or require alteration of) existing policies the client may have defined for non-related projects, business activities, or higher-level corporate activities.

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to other internationally recognized standards, certification schemes, or codes of practice and these too should be included in the policy. The policy will indicate who, within the client's organization, will ensure conformance with the policy and be responsible for its execution (with reference to an appropriate responsible government agency or third party, as necessary). The client will communicate the policy to all levels of its organization.

### Identification of Risks and Impacts

7. The client will establish and maintain a process for identifying the environmental and social risks and impacts of the project (see paragraph 18 for competency requirements). The type, scale, and location of the project guide the scope and level of effort devoted to the risks and impacts identification process. The scope of the risks and impacts identification process will be consistent with good international industry practice,<sup>10</sup> and will determine the appropriate and relevant methods and assessment tools. The process may comprise a full-scale environmental and social impact assessment, a limited or focused environmental and social assessment, or straightforward application of environmental siting, pollution standards, design criteria, or construction standards.<sup>11</sup> When the project involves existing assets, environmental and/or social audits or risk/hazard assessments can be appropriate and sufficient to identify risks and impacts. If assets to be developed, acquired or financed have yet to be defined, the establishment of an environmental and social due diligence process will identify risks and impacts at a point in the future when the physical elements, assets, and facilities are reasonably understood. The risks and impacts identification process will be based on recent environmental and social baseline data at an appropriate level of detail. The process will consider all relevant environmental and social risks and impacts of the project, including the issues identified in Performance Standards 2 through 8, and those who are likely to be affected by such risks and impacts.<sup>12</sup> The risks and impacts identification process will consider the emissions of greenhouse gases, the relevant risks associated with a changing climate and the adaptation opportunities, and potential transboundary effects, such as pollution of air, or use or pollution of international waterways.

8. Where the project involves specifically identified physical elements, aspects, and facilities that are likely to generate impacts, environmental and social risks and impacts will be identified in the context of the project's area of influence. This area of influence encompasses, as appropriate:

- The area likely to be affected by: (i) the project<sup>13</sup> and the client's activities and facilities that are directly owned, operated or managed (including by contractors) and that are a component of the project;<sup>14</sup> (ii) impacts from unplanned but predictable developments caused by the project that may occur later or at a different location; or (iii) indirect project impacts on biodiversity or on ecosystem services upon which Affected Communities' livelihoods are dependent.

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<sup>10</sup> Defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally.

<sup>11</sup> For greenfield developments or large expansions with specifically identified physical elements, aspects, and facilities that are likely to generate potential significant environmental or social impacts, the client will conduct a comprehensive Environmental and Social Impact Assessment, including an examination of alternatives, where appropriate.

<sup>12</sup> In limited high risk circumstances, it may be appropriate for the client to complement its environmental and social risks and impacts identification process with specific human rights due diligence as relevant to the particular business.

<sup>13</sup> Examples include the project's sites, the immediate airshed and watershed, or transport corridors.

<sup>14</sup> Examples include power transmission corridors, pipelines, canals, tunnels, relocation and access roads, borrow and disposal areas, construction camps, and contaminated land (e.g., soil, groundwater, surface water, and sediments).

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- Associated facilities, which are facilities that are not funded as part of the project and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.<sup>15</sup>
- Cumulative impacts<sup>16</sup> that result from the incremental impact, on areas or resources used or directly impacted by the project, from other existing, planned or reasonably defined developments at the time the risks and impacts identification process is conducted.

9. In the event of risks and impacts in the project's area of influence resulting from a third party's actions, the client will address those risks and impacts in a manner commensurate with the client's control and influence over the third parties, and with due regard to conflict of interest.

10. Where the client can reasonably exercise control, the risks and impacts identification process will also consider those risks and impacts associated with primary supply chains, as defined in Performance Standard 2 (paragraphs 27–29) and Performance Standard 6 (paragraph 30).

11. Where the project involves specifically identified physical elements, aspects and facilities that are likely to generate environmental and social impacts, the identification of risks and impacts will take into account the findings and conclusions of related and applicable plans, studies, or assessments prepared by relevant government authorities or other parties that are directly related to the project and its area of influence.<sup>17</sup> These include master economic development plans, country or regional plans, feasibility studies, alternatives analyses, and cumulative, regional, sectoral, or strategic environmental assessments where relevant. The risks and impacts identification will take account of the outcome of the engagement process with Affected Communities as appropriate.

12. Where the project involves specifically identified physical elements, aspects and facilities that are likely to generate impacts, and as part of the process of identifying risks and impacts, the client will identify individuals and groups that may be directly and differentially or disproportionately affected by the project because of their disadvantaged or vulnerable status.<sup>18</sup> Where individuals or groups are identified as disadvantaged or vulnerable, the client will propose and implement differentiated measures so that adverse impacts do not fall disproportionately on them and they are not disadvantaged in sharing development benefits and opportunities.

### Management Programs

13. Consistent with the client's policy and the objectives and principles described therein, the client will establish management programs that, in sum, will describe mitigation and performance improvement measures and actions that address the identified environmental and social risks and impacts of the project.

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<sup>15</sup> Associated facilities may include railways, roads, captive power plants or transmission lines, pipelines, utilities, warehouses, and logistics terminals.

<sup>16</sup> Cumulative impacts are limited to those impacts generally recognized as important on the basis of scientific concerns and/or concerns from Affected Communities. Examples of cumulative impacts include: incremental contribution of gaseous emissions to an airshed; reduction of water flows in a watershed due to multiple withdrawals; increases in sediment loads to a watershed; interference with migratory routes or wildlife movement; or more traffic congestion and accidents due to increases in vehicular traffic on community roadways.

<sup>17</sup> The client can take these into account by focusing on the project's incremental contribution to selected impacts generally recognized as important on the basis of scientific concern or concerns from the Affected Communities within the area addressed by these larger scope regional studies or cumulative assessments.

<sup>18</sup> This disadvantaged or vulnerable status may stem from an individual's or group's race, color, sex, language, religion, political or other opinion, national or social origin, property, birth, or other status. The client should also consider factors such as gender, age, ethnicity, culture, literacy, sickness, physical or mental disability, poverty or economic disadvantage, and dependence on unique natural resources.



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14. Depending on the nature and scale of the project, these programs may consist of some documented combination of operational procedures, practices, plans, and related supporting documents (including legal agreements) that are managed in a systematic way.<sup>19</sup> The programs may apply broadly across the client's organization, including contractors and primary suppliers over which the organization has control or influence, or to specific sites, facilities, or activities. The mitigation hierarchy to address identified risks and impacts will favor the avoidance of impacts over minimization, and, where residual impacts remain, compensation/offset, wherever technically<sup>20</sup> and financially feasible.<sup>21</sup>

15. Where the identified risks and impacts cannot be avoided, the client will identify mitigation and performance measures and establish corresponding actions to ensure the project will operate in compliance with applicable laws and regulations, and meet the requirements of Performance Standards 1 through 8. The level of detail and complexity of this collective management program and the priority of the identified measures and actions will be commensurate with the project's risks and impacts, and will take account of the outcome of the engagement process with Affected Communities as appropriate.

16. The management programs will establish environmental and social Action Plans,<sup>22</sup> which will define desired outcomes and actions to address the issues raised in the risks and impacts identification process, as measurable events to the extent possible, with elements such as performance indicators, targets, or acceptance criteria that can be tracked over defined time periods, and with estimates of the resources and responsibilities for implementation. As appropriate, the management program will recognize and incorporate the role of relevant actions and events controlled by third parties to address identified risks and impacts. Recognizing the dynamic nature of the project, the management program will be responsive to changes in circumstances, unforeseen events, and the results of monitoring and review.

### **Organizational Capacity and Competency**

17. The client, in collaboration with appropriate and relevant third parties, will establish, maintain, and strengthen as necessary an organizational structure that defines roles, responsibilities, and authority to implement the ESMS. Specific personnel, including management representative(s), with clear lines of responsibility and authority should be designated. Key environmental and social responsibilities should be well defined and communicated to the relevant personnel and to the rest of the client's organization. Sufficient management sponsorship and human and financial resources will be provided on an ongoing basis to achieve effective and continuous environmental and social performance.

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<sup>19</sup> Existing legal agreements between the client and third parties that address mitigation actions with regard to specific impacts constitute part of a program. Examples are government-managed resettlement responsibilities specified in an agreement.

<sup>20</sup> Technical feasibility is based on whether the proposed measures and actions can be implemented with commercially available skills, equipment, and materials, taking into consideration prevailing local factors such as climate, geography, demography, infrastructure, security, governance, capacity, and operational reliability.

<sup>21</sup> Financial feasibility is based on commercial considerations, including relative magnitude of the incremental cost of adopting such measures and actions compared to the project's investment, operating, and maintenance costs, and on whether this incremental cost could make the project nonviable to the client.

<sup>22</sup> Action plans may include an overall Environmental and Social Action Plan necessary for carrying out a suite of mitigation measures or thematic action plans, such as Resettlement Action Plans or Biodiversity Action Plans. Action plans may be plans designed to fill in the gaps of existing management programs to ensure consistency with the Performance Standards, or they may be stand alone plans that specify the project's mitigation strategy. The "Action plan" terminology is understood by some communities of practice to mean Management plans, or Development plans. In this case, examples are numerous and include various types of environmental and social management plans.

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18. Personnel within the client's organization with direct responsibility for the project's environmental and social performance will have the knowledge, skills, and experience necessary to perform their work, including current knowledge of the host country's regulatory requirements and the applicable requirements of Performance Standards 1 through 8. Personnel will also possess the knowledge, skills, and experience to implement the specific measures and actions required under the ESMS and the methods required to perform the actions in a competent and efficient manner.

19. The process of identification of risks and impacts will consist of an adequate, accurate, and objective evaluation and presentation, prepared by competent professionals. For projects posing potentially significant adverse impacts or where technically complex issues are involved, clients may be required to involve external experts to assist in the risks and impacts identification process.

### **Emergency Preparedness and Response**

20. Where the project involves specifically identified physical elements, aspects and facilities that are likely to generate impacts, the ESMS will establish and maintain an emergency preparedness and response system so that the client, in collaboration with appropriate and relevant third parties, will be prepared to respond to accidental and emergency situations associated with the project in a manner appropriate to prevent and mitigate any harm to people and/or the environment. This preparation will include the identification of areas where accidents and emergency situations may occur, communities and individuals that may be impacted, response procedures, provision of equipment and resources, designation of responsibilities, communication, including that with potentially Affected Communities and periodic training to ensure effective response. The emergency preparedness and response activities will be periodically reviewed and revised, as necessary, to reflect changing conditions.

21. Where applicable, the client will also assist and collaborate with the potentially Affected Communities (see Performance Standard 4) and the local government agencies in their preparations to respond effectively to emergency situations, especially when their participation and collaboration are necessary to ensure effective response. If local government agencies have little or no capacity to respond effectively, the client will play an active role in preparing for and responding to emergencies associated with the project. The client will document its emergency preparedness and response activities, resources, and responsibilities, and will provide appropriate information to potentially Affected Community and relevant government agencies.

### **Monitoring and Review**

22. The client will establish procedures to monitor and measure the effectiveness of the management program, as well as compliance with any related legal and/or contractual obligations and regulatory requirements. Where the government or other third party has responsibility for managing specific risks and impacts and associated mitigation measures, the client will collaborate in establishing and monitoring such mitigation measures. Where appropriate, clients will consider involving representatives from Affected Communities to participate in monitoring activities.<sup>23</sup> The client's monitoring program should be overseen by the appropriate level in the organization. For projects with significant impacts, the client will retain external experts to verify its monitoring information. The extent of monitoring should be commensurate with the project's environmental and social risks and impacts and with compliance requirements.

23. In addition to recording information to track performance and establishing relevant operational controls, the client should use dynamic mechanisms, such as internal inspections and audits, where relevant, to verify compliance and progress toward the desired outcomes. Monitoring will normally

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<sup>23</sup> For example, participatory water monitoring.

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include recording information to track performance and comparing this against the previously established benchmarks or requirements in the management program. Monitoring should be adjusted according to performance experience and actions requested by relevant regulatory authorities. The client will document monitoring results and identify and reflect the necessary corrective and preventive actions in the amended management program and plans. The client, in collaboration with appropriate and relevant third parties, will implement these corrective and preventive actions, and follow up on these actions in upcoming monitoring cycles to ensure their effectiveness.

24. Senior management in the client organization will receive periodic performance reviews of the effectiveness of the ESMS, based on systematic data collection and analysis. The scope and frequency of such reporting will depend upon the nature and scope of the activities identified and undertaken in accordance with the client's ESMS and other applicable project requirements. Based on results within these performance reviews, senior management will take the necessary and appropriate steps to ensure the intent of the client's policy is met, that procedures, practices, and plans are being implemented, and are seen to be effective.

### **Stakeholder Engagement**

25. Stakeholder engagement is the basis for building strong, constructive, and responsive relationships that are essential for the successful management of a project's environmental and social impacts.<sup>24</sup> Stakeholder engagement is an ongoing process that may involve, in varying degrees, the following elements: stakeholder analysis and planning, disclosure and dissemination of information, consultation and participation, grievance mechanism, and ongoing reporting to Affected Communities. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and will be commensurate with the project's risks and adverse impacts, and the project's phase of development.

#### Stakeholder Analysis and Engagement Planning

26. Clients should identify the range of stakeholders that may be interested in their actions and consider how external communications might facilitate a dialog with all stakeholders (paragraph 34 below). Where projects involve specifically identified physical elements, aspects and/or facilities that are likely to generate adverse environmental and social impacts to Affected Communities the client will identify the Affected Communities and will meet the relevant requirements described below.

27. The client will develop and implement a Stakeholder Engagement Plan that is scaled to the project risks and impacts and development stage, and be tailored to the characteristics and interests of the Affected Communities. Where applicable, the Stakeholder Engagement Plan will include differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable. When the stakeholder engagement process depends substantially on community representatives,<sup>25</sup> the client will make every reasonable effort to verify that such persons do in fact represent the views of Affected Communities and that they can be relied upon to faithfully communicate the results of consultations to their constituents.

28. In cases where the exact location of the project is not known, but it is reasonably expected to have significant impacts on local communities, the client will prepare a Stakeholder Engagement Framework, as part of its management program, outlining general principles and a strategy to identify Affected Communities and other relevant stakeholders and plan for an engagement process

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<sup>24</sup> Requirements regarding engagement of workers and related grievance redress procedures are found in Performance Standard 2.

<sup>25</sup> For example, community and religious leaders, local government representatives, civil society representatives, politicians, school teachers, and/or others representing one or more affected stakeholder groups.

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compatible with this Performance Standard that will be implemented once the physical location of the project is known.

### Disclosure of Information

29. Disclosure of relevant project information helps Affected Communities and other stakeholders understand the risks, impacts and opportunities of the project. The client will provide Affected Communities with access to relevant information<sup>26</sup> on: (i) the purpose, nature, and scale of the project; (ii) the duration of proposed project activities; (iii) any risks to and potential impacts on such communities and relevant mitigation measures; (iv) the envisaged stakeholder engagement process; and (v) the grievance mechanism.

### Consultation

30. When Affected Communities are subject to identified risks and adverse impacts from a project, the client will undertake a process of consultation in a manner that provides the Affected Communities with opportunities to express their views on project risks, impacts and mitigation measures, and allows the client to consider and respond to them. The extent and degree of engagement required by the consultation process should be commensurate with the project's risks and adverse impacts and with the concerns raised by the Affected Communities. Effective consultation is a two-way process that should: (i) begin early in the process of identification of environmental and social risks and impacts and continue on an ongoing basis as risks and impacts arise; (ii) be based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information which is in a culturally appropriate local language(s) and format and is understandable to Affected Communities; (iii) focus inclusive<sup>27</sup> engagement on those directly affected as opposed to those not directly affected; (iv) be free of external manipulation, interference, coercion, or intimidation; (v) enable meaningful participation, where applicable; and (vi) be documented. The client will tailor its consultation process to the language preferences of the Affected Communities, their decision-making process, and the needs of disadvantaged or vulnerable groups. If clients have already engaged in such a process, they will provide adequate documented evidence of such engagement.

### Informed Consultation and Participation

31. For projects with potentially significant adverse impacts on Affected Communities, the client will conduct an Informed Consultation and Participation (ICP) process that will build upon the steps outlined above in Consultation and will result in the Affected Communities' informed participation. ICP involves a more in-depth exchange of views and information, and an organized and iterative consultation, leading to the client's incorporating into their decision-making process the views of the Affected Communities on matters that affect them directly, such as the proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues. The consultation process should (i) capture both men's and women's views, if necessary through separate forums or engagements, and (ii) reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate. The client will document the process, in particular the measures taken to avoid or minimize risks to and adverse impacts on the

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<sup>26</sup> Depending on the scale of the project and significance of the risks and impacts, relevant document(s) could range from full Environmental and Social Assessments and Action Plans (i.e., Stakeholder Engagement Plan, Resettlement Action Plans, Biodiversity Action Plans, Hazardous Materials Management Plans, Emergency Preparedness and Response Plans, Community Health and Safety Plans, Ecosystem Restoration Plans, and Indigenous Peoples Development Plans, etc.) to easy-to-understand summaries of key issues and commitments. These documents could also include the client's environmental and social policy and any supplemental measures and actions defined as a result of independent due diligence conducted by financiers.

<sup>27</sup> Such as men, women, the elderly, youth, displaced persons, and vulnerable and disadvantaged persons or groups.

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Affected Communities, and will inform those affected about how their concerns have been considered.

### Indigenous Peoples

32. For projects with adverse impacts to Indigenous Peoples, the client is required to engage them in a process of ICP and in certain circumstances the client is required to obtain their Free, Prior, and Informed Consent (FPIC). The requirements related to Indigenous Peoples and the definition of the special circumstances requiring FPIC are described in Performance Standard 7.

### Private Sector Responsibilities Under Government-Led Stakeholder Engagement

33. Where stakeholder engagement is the responsibility of the host government, the client will collaborate with the responsible government agency, to the extent permitted by the agency, to achieve outcomes that are consistent with the objectives of this Performance Standard. In addition, where government capacity is limited, the client will play an active role during the stakeholder engagement planning, implementation, and monitoring. If the process conducted by the government does not meet the relevant requirements of this Performance Standard, the client will conduct a complementary process and, where appropriate, identify supplemental actions.

## **External Communications and Grievance Mechanisms**

### External Communications

34. Clients will implement and maintain a procedure for external communications that includes methods to (i) receive and register external communications from the public; (ii) screen and assess the issues raised and determine how to address them; (iii) provide, track, and document responses, if any; and (iv) adjust the management program, as appropriate. In addition, clients are encouraged to make publicly available periodic reports on their environmental and social sustainability.

### Grievance Mechanism for Affected Communities

35. Where there are Affected Communities, the client will establish a grievance mechanism to receive and facilitate resolution of Affected Communities' concerns and grievances about the client's environmental and social performance. The grievance mechanism should be scaled to the risks and adverse impacts of the project and have Affected Communities as its primary user. It should seek to resolve concerns promptly, using an understandable and transparent consultative process that is culturally appropriate and readily accessible, and at no cost and without retribution to the party that originated the issue or concern. The mechanism should not impede access to judicial or administrative remedies. The client will inform the Affected Communities about the mechanism in the course of the stakeholder engagement process.

### **Ongoing Reporting to Affected Communities**

36. The client will provide periodic reports to the Affected Communities that describe progress with implementation of the project Action Plans on issues that involve ongoing risk to or impacts on Affected Communities and on issues that the consultation process or grievance mechanism have identified as a concern to those Communities. If the management program results in material changes in or additions to the mitigation measures or actions described in the Action Plans on issues of concern to the Affected Communities, the updated relevant mitigation measures or actions will be communicated to them. The frequency of these reports will be proportionate to the concerns of Affected Communities but not less than annually.

### Introduction

1. Performance Standard 2 recognizes that the pursuit of economic growth through employment creation and income generation should be accompanied by protection of the fundamental<sup>1</sup> rights of workers. For any business, the workforce is a valuable asset, and a sound worker-management relationship is a key ingredient in the sustainability of a company. Failure to establish and foster a sound worker-management relationship can undermine worker commitment and retention, and can jeopardize a project. Conversely, through a constructive worker-management relationship, and by treating the workers fairly and providing them with safe and healthy working conditions, clients may create tangible benefits, such as enhancement of the efficiency and productivity of their operations.

2. The requirements set out in this Performance Standard have been in part guided by a number of international conventions and instruments, including those of the International Labour Organization (ILO) and the United Nations (UN).<sup>2</sup>

### Objectives

- To promote the fair treatment, non-discrimination, and equal opportunity of workers.
- To establish, maintain, and improve the worker-management relationship.
- To promote compliance with national employment and labor laws.
- To protect workers, including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the client's supply chain.
- To promote safe and healthy working conditions, and the health of workers.
- To avoid the use of forced labor.

### Scope of Application

3. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System (ESMS), the elements of which are outlined in Performance Standard 1.

4. The scope of application of this Performance Standard depends on the type of employment relationship between the client and the worker. It applies to workers directly engaged by the client (direct workers), workers engaged through third parties to perform work related to core business

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<sup>1</sup> As guided by the ILO Conventions listed in footnote 2.

<sup>2</sup> These conventions are:

ILO Convention 87 on Freedom of Association and Protection of the Right to Organize

ILO Convention 98 on the Right to Organize and Collective Bargaining

ILO Convention 29 on Forced Labor

ILO Convention 105 on the Abolition of Forced Labor

ILO Convention 138 on Minimum Age (of Employment)

ILO Convention 182 on the Worst Forms of Child Labor

ILO Convention 100 on Equal Remuneration

ILO Convention 111 on Discrimination (Employment and Occupation)

UN Convention on the Rights of the Child, Article 32.1

UN Convention on the Protection of the Rights of all Migrant Workers and Members of their Families



processes<sup>3</sup> of the project for a substantial duration (contracted workers), as well as workers engaged by the client's primary suppliers (supply chain workers).<sup>4</sup>

### Direct Workers

5. With respect to direct workers, the client will apply the requirements of paragraphs 8–23 of this Performance Standard.

### Contracted Workers

6. With respect to contracted workers, the client will apply the requirements of paragraphs 23–26 of this Performance Standard.

### Supply Chain Workers

7. With respect to supply chain workers, the client will apply the requirements of paragraphs 27–29 of this Performance Standard.

## Requirements

### Working Conditions and Management of Worker Relationship

#### Human Resources Policies and Procedures

8. The client will adopt and implement human resources policies and procedures appropriate to its size and workforce that set out its approach to managing workers consistent with the requirements of this Performance Standard and national law.

9. The client will provide workers with documented information that is clear and understandable, regarding their rights under national labor and employment law and any applicable collective agreements, including their rights related to hours of work, wages, overtime, compensation, and benefits upon beginning the working relationship and when any material changes occur.

#### Working Conditions and Terms of Employment

10. Where the client is a party to a collective bargaining agreement with a workers' organization, such agreement will be respected. Where such agreements do not exist, or do not address working conditions and terms of employment,<sup>5</sup> the client will provide reasonable working conditions and terms of employment.<sup>6</sup>

11. The client will identify migrant workers and ensure that they are engaged on substantially equivalent terms and conditions to non-migrant workers carrying out similar work.

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<sup>3</sup> Core business processes constitute those production and/or service processes essential for a specific business activity without which the business activity could not continue.

<sup>4</sup> Primary suppliers are those suppliers who, on an ongoing basis, provide goods or materials essential for the core business processes of the project.

<sup>5</sup> Working conditions and terms of employment examples are wages and benefits; wage deductions; hours of work; overtime arrangements and overtime compensation; breaks; rest days; and leave for illness, maternity, vacation or holiday.

<sup>6</sup> Reasonable working conditions and terms of employment could be assessed by reference to (i) conditions established for work of the same character in the trade or industry concerned in the area/region where the work is carried out; (ii) collective agreement or other recognized negotiation between other organizations of employers and workers' representatives in the trade or industry concerned; (iii) arbitration award; or (iv) conditions established by national law.

12. Where accommodation services<sup>7</sup> are provided to workers covered by the scope of this Performance Standard, the client will put in place and implement policies on the quality and management of the accommodation and provision of basic services.<sup>8</sup> The accommodation services will be provided in a manner consistent with the principles of non-discrimination and equal opportunity. Workers' accommodation arrangements should not restrict workers' freedom of movement or of association.

### Workers' Organizations

13. In countries where national law recognizes workers' rights to form and to join workers' organizations of their choosing without interference and to bargain collectively, the client will comply with national law. Where national law substantially restricts workers' organizations, the client will not restrict workers from developing alternative mechanisms to express their grievances and protect their rights regarding working conditions and terms of employment. The client should not seek to influence or control these mechanisms

14. In either case described in paragraph 13 of this Performance Standard, and where national law is silent, the client will not discourage workers from electing worker representatives, forming or joining workers' organizations of their choosing, or from bargaining collectively, and will not discriminate or retaliate against workers who participate, or seek to participate, in such organizations and collective bargaining. The client will engage with such workers' representatives and workers' organizations, and provide them with information needed for meaningful negotiation in a timely manner. Workers' organizations are expected to fairly represent the workers in the workforce.

### Non-Discrimination and Equal Opportunity

15. The client will not make employment decisions on the basis of personal characteristics<sup>9</sup> unrelated to inherent job requirements. The client will base the employment relationship on the principle of equal opportunity and fair treatment, and will not discriminate with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, and disciplinary practices. The client will take measures to prevent and address harassment, intimidation, and/or exploitation, especially in regard to women. The principles of non-discrimination apply to migrant workers.

16. In countries where national law provides for non-discrimination in employment, the client will comply with national law. When national laws are silent on non-discrimination in employment, the client will meet this Performance Standard. In circumstances where national law is inconsistent with this Performance Standard, the client is encouraged to carry out its operations consistent with the intent of paragraph 15 above without contravening applicable laws.

17. Special measures of protection or assistance to remedy past discrimination or selection for a particular job based on the inherent requirements of the job will not be deemed as discrimination, provided they are consistent with national law.

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<sup>7</sup> Those services might be provided either directly by the client or by third parties.

<sup>8</sup> Basic services requirements refer to minimum space, supply of water, adequate sewage and garbage disposal system, appropriate protection against heat, cold, damp, noise, fire and disease-carrying animals, adequate sanitary and washing facilities, ventilation, cooking and storage facilities and natural and artificial lighting, and in some cases basic medical services.

<sup>9</sup> Such as gender, race, nationality, ethnic, social and indigenous origin, religion or belief, disability, age, or sexual orientation.



### Retrenchment

18. Prior to implementing any collective dismissals,<sup>10</sup> the client will carry out an analysis of alternatives to retrenchment.<sup>11</sup> If the analysis does not identify viable alternatives to retrenchment, a retrenchment plan will be developed and implemented to reduce the adverse impacts of retrenchment on workers. The retrenchment plan will be based on the principle of non-discrimination and will reflect the client's consultation with workers, their organizations, and, where appropriate, the government, and comply with collective bargaining agreements if they exist. The client will comply with all legal and contractual requirements related to notification of public authorities, and provision of information to, and consultation with workers and their organizations.

19. The client should ensure that all workers receive notice of dismissal and severance payments mandated by law and collective agreements in a timely manner. All outstanding back pay and social security benefits and pension contributions and benefits will be paid (i) on or before termination of the working relationship to the workers, (ii) where appropriate, for the benefit of the workers, or (iii) payment will be made in accordance with a timeline agreed through a collective agreement. Where payments are made for the benefit of workers, workers will be provided with evidence of such payments.

### Grievance Mechanism

20. The client will provide a grievance mechanism for workers (and their organizations, where they exist) to raise workplace concerns. The client will inform the workers of the grievance mechanism at the time of recruitment and make it easily accessible to them. The mechanism should involve an appropriate level of management and address concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned, without any retribution. The mechanism should also allow for anonymous complaints to be raised and addressed. The mechanism should not impede access to other judicial or administrative remedies that might be available under the law or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective agreements.

## **Protecting the Work Force**

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### Child Labor

21. The client will not employ children in any manner that is economically exploitative, or is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development. The client will identify the presence of all persons under the age of 18. Where national laws have provisions for the employment of minors, the client will follow those laws applicable to the client. Children under the age of 18 will not be employed in hazardous work.<sup>12</sup> All work of persons under the age of 18 will be subject to an appropriate risk assessment and regular monitoring of health, working conditions, and hours of work.

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<sup>10</sup> Collective dismissals cover all multiple dismissals that are a result of an economic, technical, or organizational reason; or other reasons that are not related to performance or other personal reasons.

<sup>11</sup> Examples of alternatives may include negotiated working-time reduction programs, employee capacity-building programs; long-term maintenance works during low production periods, etc.

<sup>12</sup> Examples of hazardous work activities include work (i) with exposure to physical, psychological, or sexual abuse; (ii) underground, underwater, working at heights, or in confined spaces; (iii) with dangerous machinery, equipment, or tools, or involving handling of heavy loads; (iv) in unhealthy environments exposing the worker to hazardous substances, agents, processes, temperatures, noise, or vibration damaging to health; or (v) under difficult conditions such as long hours, late night, or confinement by employer.

### Forced Labor

22. The client will not employ forced labor, which consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. This covers any kind of involuntary or compulsory labor, such as indentured labor, bonded labor, or similar labor-contracting arrangements. The client will not employ trafficked persons.<sup>13</sup>

### Occupational Health and Safety

23. The client will provide a safe and healthy work environment, taking into account inherent risks in its particular sector and specific classes of hazards in the client's work areas, including physical, chemical, biological, and radiological hazards, and specific threats to women. The client will take steps to prevent accidents, injury, and disease arising from, associated with, or occurring in the course of work by minimizing, as far as reasonably practicable, the causes of hazards. In a manner consistent with good international industry practice,<sup>14</sup> as reflected in various internationally recognized sources including the World Bank Group Environmental, Health and Safety Guidelines, the client will address areas that include the (i) identification of potential hazards to workers, particularly those that may be life-threatening; (ii) provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances; (iii) training of workers; (iv) documentation and reporting of occupational accidents, diseases, and incidents; and (v) emergency prevention, preparedness, and response arrangements. For additional information related to emergency preparedness and response refer to Performance Standard 1.

### Workers Engaged by Third Parties

24. With respect to contracted workers the client will take commercially reasonable efforts to ascertain that the third parties who engage these workers are reputable and legitimate enterprises and have an appropriate ESMS that will allow them to operate in a manner consistent with the requirements of this Performance Standard, except for paragraphs 18–19, and 27–29.

25. The client will establish policies and procedures for managing and monitoring the performance of such third party employers in relation to the requirements of this Performance Standard. In addition, the client will use commercially reasonable efforts to incorporate these requirements in contractual agreements with such third party employers.

26. The client will ensure that contracted workers, covered in paragraphs 24–25 of this Performance Standard, have access to a grievance mechanism. In cases where the third party is not able to provide a grievance mechanism the client will extend its own grievance mechanism to serve workers engaged by the third party.

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<sup>13</sup> Trafficking in persons is defined as the recruitment, transportation, transfer, harboring, or receipt of persons, by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Women and children are particularly vulnerable to trafficking practices.

<sup>14</sup> Defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances, globally or regionally.

### Supply Chain

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27. Where there is a high risk of child labor or forced labor<sup>15</sup> in the primary supply chain, the client will identify those risks consistent with paragraphs 21 and 22 above. If child labor or forced labor cases are identified, the client will take appropriate steps to remedy them. The client will monitor its primary supply chain on an ongoing basis in order to identify any significant changes in its supply chain and if new risks or incidents of child and/or forced labor are identified, the client will take appropriate steps to remedy them.

28. Additionally, where there is a high risk of significant safety issues related to supply chain workers, the client will introduce procedures and mitigation measures to ensure that primary suppliers within the supply chain are taking steps to prevent or to correct life-threatening situations.

29. The ability of the client to fully address these risks will depend upon the client's level of management control or influence over its primary suppliers. Where remedy is not possible, the client will shift the project's primary supply chain over time to suppliers that can demonstrate that they are complying with this Performance Standard.

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<sup>15</sup> The potential risk of child labor and forced labor will be determined during the risks and impacts identification process as required in Performance Standard 1.

### Introduction

1. Performance Standard 3 recognizes that increased economic activity and urbanization often generate increased levels of pollution to air, water, and land, and consume finite resources in a manner that may threaten people and the environment at the local, regional, and global levels.<sup>1</sup> There is also a growing global consensus that the current and projected atmospheric concentration of greenhouse gases (GHG) threatens the public health and welfare of current and future generations. At the same time, more efficient and effective resource use and pollution prevention<sup>2</sup> and GHG emission avoidance and mitigation technologies and practices have become more accessible and achievable in virtually all parts of the world. These are often implemented through continuous improvement methodologies similar to those used to enhance quality or productivity, which are generally well known to most industrial, agricultural, and service sector companies.

2. This Performance Standard outlines a project-level approach to resource efficiency and pollution prevention and control in line with internationally disseminated technologies and practices. In addition, this Performance Standard promotes the ability of private sector companies to adopt such technologies and practices as far as their use is feasible in the context of a project that relies on commercially available skills and resources.

### Objectives

- To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities.
- To promote more sustainable use of resources, including energy and water.
- To reduce project-related GHG emissions.

### Scope of Application

3. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System, the elements of which are outlined in Performance Standard 1.

### Requirements

4. During the project life-cycle, the client will consider ambient conditions and apply technically and financially feasible resource efficiency and pollution prevention principles and techniques that are best suited to avoid, or where avoidance is not possible, minimize adverse impacts on human health and the environment.<sup>3</sup> The principles and techniques applied during the project life-cycle will be

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<sup>1</sup> For the purposes of this Performance Standard, the term "pollution" is used to refer to both hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases, and includes other components such as pests, pathogens, thermal discharge to water, GHG emissions, nuisance odors, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.

<sup>2</sup> For the purpose of this Performance Standard, the term "pollution prevention" does not mean absolute elimination of emissions, but the avoidance at source whenever possible, and, if not possible, then subsequent minimization of pollution to the extent that the Performance Standard objectives are satisfied.

<sup>3</sup> Technical feasibility is based on whether the proposed measures and actions can be implemented with commercially available skills, equipment, and materials, taking into consideration prevailing local factors such as climate, geography, infrastructure, security, governance, capacity and operational reliability. Financial feasibility is

## Performance Standard 3 Resource Efficiency and Pollution Prevention

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tailored to the hazards and risks associated with the nature of the project and consistent with good international industry practice (GIIP),<sup>4</sup> as reflected in various internationally recognized sources, including the World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines).

5. The client will refer to the EHS Guidelines or other internationally recognized sources, as appropriate, when evaluating and selecting resource efficiency and pollution prevention and control techniques for the project. The EHS Guidelines contain the performance levels and measures that are normally acceptable and applicable to projects. When host country regulations differ from the levels and measures presented in the EHS Guidelines, clients will be required to achieve whichever is more stringent. If less stringent levels or measures than those provided in the EHS Guidelines are appropriate in view of specific project circumstances, the client will provide full and detailed justification for any proposed alternatives through the environmental and social risks and impacts identification and assessment process. This justification must demonstrate that the choice for any alternate performance levels is consistent with the objectives of this Performance Standard.

### **Resource Efficiency**

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6. The client will implement technically and financially feasible and cost effective<sup>5</sup> measures for improving efficiency in its consumption of energy, water, as well as other resources and material inputs, with a focus on areas that are considered core business activities. Such measures will integrate the principles of cleaner production into product design and production processes with the objective of conserving raw materials, energy, and water. Where benchmarking data are available, the client will make a comparison to establish the relative level of efficiency.

### Greenhouse Gases

7. In addition to the resource efficiency measures described above, the client will consider alternatives and implement technically and financially feasible and cost-effective options to reduce project-related GHG emissions during the design and operation of the project. These options may include, but are not limited to, alternative project locations, adoption of renewable or low carbon energy sources, sustainable agricultural, forestry and livestock management practices, the reduction of fugitive emissions and the reduction of gas flaring.

8. For projects that are expected to or currently produce more than 25,000 tonnes of CO<sub>2</sub>-equivalent annually,<sup>6</sup> the client will quantify direct emissions from the facilities owned or controlled within the physical project boundary,<sup>7</sup> as well as indirect emissions associated with the off-site

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based on commercial considerations, including relative magnitude of the incremental cost of adopting such measures and actions compared to the project's investment, operating, and maintenance costs.

<sup>4</sup> GIIP is defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally. The outcome of such exercise should be that the project employs the most appropriate technologies in the project-specific circumstances.

<sup>5</sup> Cost-effectiveness is determined according to the capital and operational cost and financial benefits of the measure considered over the life of the measure. For the purpose of this Performance Standard, a resource efficiency or GHG emissions reduction measure is considered cost-effective if it is expected to provide a risk-rated return on investment at least comparable to the project itself.

<sup>6</sup> The quantification of emissions should consider all significant sources of greenhouse gas emissions, including non-energy related sources such as methane and nitrous oxide, among others.

<sup>7</sup> Project-induced changes in soil carbon content or above ground biomass, and project-induced decay of organic matter may contribute to direct emissions sources and shall be included in this emissions quantification where such emissions are expected to be significant.

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production of energy<sup>8</sup> used by the project. Quantification of GHG emissions will be conducted by the client annually in accordance with internationally recognized methodologies and good practice.<sup>9</sup>

### Water Consumption

9. When the project is a potentially significant consumer of water, in addition to applying the resource efficiency requirements of this Performance Standard, the client shall adopt measures that avoid or reduce water usage so that the project's water consumption does not have significant adverse impacts on others. These measures include, but are not limited to, the use of additional technically feasible water conservation measures within the client's operations, the use of alternative water supplies, water consumption offsets to reduce total demand for water resources to within the available supply, and evaluation of alternative project locations.

### Pollution Prevention

10. The client will avoid the release of pollutants or, when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances with the potential for local, regional, and transboundary impacts.<sup>10</sup> Where historical pollution such as land or ground water contamination exists, the client will seek to determine whether it is responsible for mitigation measures. If it is determined that the client is legally responsible, then these liabilities will be resolved in accordance with national law, or where this is silent, with GIIP.<sup>11</sup>

11. To address potential adverse project impacts on existing ambient conditions,<sup>12</sup> the client will consider relevant factors, including, for example (i) existing ambient conditions; (ii) the finite assimilative capacity<sup>13</sup> of the environment; (iii) existing and future land use; (iv) the project's proximity to areas of importance to biodiversity; and (v) the potential for cumulative impacts with uncertain and/or irreversible consequences. In addition to applying resource efficiency and pollution control measures as required in this Performance Standard, when the project has the potential to constitute a significant source of emissions in an already degraded area, the client will consider additional strategies and adopt measures that avoid or reduce negative effects. These strategies include, but are not limited to, evaluation of project location alternatives and emissions offsets.

### Wastes

12. The client will avoid the generation of hazardous and non-hazardous waste materials. Where waste generation cannot be avoided, the client will reduce the generation of waste, and recover and reuse waste in a manner that is safe for human health and the environment. Where waste cannot be recovered or reused, the client will treat, destroy, or dispose of it in an environmentally sound manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material. If the generated waste is considered hazardous,<sup>14</sup> the client will

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<sup>8</sup> Refers to the off-site generation by others of electricity, and heating and cooling energy used in the project.

<sup>9</sup> Estimation methodologies are provided by the Intergovernmental Panel on Climate Change, various international organizations, and relevant host country agencies.

<sup>10</sup> Transboundary pollutants include those covered under the Convention on Long-Range Transboundary Air Pollution.

<sup>11</sup> This may require coordination with national and local government, communities, and the contributors to the contamination, and that any assessment follows a risk-based approach consistent with GIIP as reflected in the EHS Guidelines.

<sup>12</sup> Such as air, surface and groundwater, and soils.

<sup>13</sup> The capacity of the environment for absorbing an incremental load of pollutants while remaining below a threshold of unacceptable risk to human health and the environment.

<sup>14</sup> As defined by international conventions or local legislation.

adopt GIIP alternatives for its environmentally sound disposal while adhering to the limitations applicable to its transboundary movement.<sup>15</sup> When hazardous waste disposal is conducted by third parties, the client will use contractors that are reputable and legitimate enterprises licensed by the relevant government regulatory agencies and obtain chain of custody documentation to the final destination. The client should ascertain whether licensed disposal sites are being operated to acceptable standards and where they are, the client will use these sites. Where this is not the case, clients should reduce waste sent to such sites and consider alternative disposal options, including the possibility of developing their own recovery or disposal facilities at the project site.

### Hazardous Materials Management

13. Hazardous materials are sometimes used as raw material or produced as product by the project. The client will avoid or, when avoidance is not possible, minimize and control the release of hazardous materials. In this context, the production, transportation, handling, storage, and use of hazardous materials for project activities should be assessed. The client will consider less hazardous substitutes where hazardous materials are intended to be used in manufacturing processes or other operations. The client will avoid the manufacture, trade, and use of chemicals and hazardous materials subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer.<sup>16</sup>

### Pesticide Use and Management

14. The client will, where appropriate, formulate and implement an integrated pest management (IPM) and/or integrated vector management (IVM) approach targeting economically significant pest infestations and disease vectors of public health significance. The client's IPM and IVM program will integrate coordinated use of pest and environmental information along with available pest control methods, including cultural practices, biological, genetic, and, as a last resort, chemical means to prevent economically significant pest damage and/or disease transmission to humans and animals.

15. When pest management activities include the use of chemical pesticides, the client will select chemical pesticides that are low in human toxicity, that are known to be effective against the target species, and that have minimal effects on non-target species and the environment. When the client selects chemical pesticides, the selection will be based upon requirements that the pesticides be packaged in safe containers, be clearly labeled for safe and proper use, and that the pesticides have been manufactured by an entity currently licensed by relevant regulatory agencies.

16. The client will design its pesticide application regime to (i) avoid damage to natural enemies of the target pest, and where avoidance is not possible, minimize, and (ii) avoid the risks associated with the development of resistance in pests and vectors, and where avoidance is not possible minimize. In addition, pesticides will be handled, stored, applied, and disposed of in accordance with the Food and Agriculture Organization's International Code of Conduct on the Distribution and Use of Pesticides or other GIIP.

17. The client will not purchase, store, use, manufacture, or trade in products that fall in WHO Recommended Classification of Pesticides by Hazard Class Ia (extremely hazardous); or Ib (highly

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<sup>15</sup> Transboundary movement of hazardous materials should be consistent with national, regional and international law, including the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the London Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter.

<sup>16</sup> Consistent with the objectives of the Stockholm Convention on Persistent Organic Pollutants and the Montreal Protocol on Substances that Deplete the Ozone Layer. Similar considerations will apply to certain World Health Organization (WHO) classes of pesticides.





## **Performance Standard 3**

### **Resource Efficiency and Pollution Prevention**

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hazardous). The client will not purchase, store, use, manufacture or trade in Class II (moderately hazardous) pesticides, unless the project has appropriate controls on manufacture, procurement, or distribution and/or use of these chemicals. These chemicals should not be accessible to personnel without proper training, equipment, and facilities to handle, store, apply, and dispose of these products properly.



### Introduction

1. Performance Standard 4 recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. In addition, communities that are already subjected to impacts from climate change may also experience an acceleration and/or intensification of impacts due to project activities. While acknowledging the public authorities' role in promoting the health, safety, and security of the public, this Performance Standard addresses the client's responsibility to avoid or minimize the risks and impacts to community health, safety, and security that may arise from project related-activities, with particular attention to vulnerable groups.
2. In conflict and post-conflict areas, the level of risks and impacts described in this Performance Standard may be greater. The risks that a project could exacerbate an already sensitive local situation and stress scarce local resources should not be overlooked as it may lead to further conflict.

### Objectives

- To anticipate and avoid adverse impacts on the health and safety of the Affected Community during the project life from both routine and non-routine circumstances.
- To ensure that the safeguarding of personnel and property is carried out in accordance with relevant human rights principles and in a manner that avoids or minimizes risks to the Affected Communities.

### Scope of Application

3. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System, the elements of which are outlined in Performance Standard 1.
4. This Performance Standard addresses potential risks and impacts to the Affected Communities from project activities. Occupational health and safety requirements for workers are included in Performance Standard 2, and environmental standards to avoid or minimize impacts on human health and the environment due to pollution are included in Performance Standard 3.

### Requirements

#### Community Health and Safety

5. The client will evaluate the risks and impacts to the health and safety of the Affected Communities during the project life-cycle and will establish preventive and control measures consistent with good international industry practice (GIIP),<sup>1</sup> such as in the World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines) or other internationally recognized sources. The client will identify risks and impacts and propose mitigation measures that are commensurate with their nature and magnitude. These measures will favor the avoidance of risks and impacts over minimization.

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<sup>1</sup> Defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally.

## Performance Standard 4 Community Health, Safety, and Security

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### Infrastructure and Equipment Design and Safety

6. The client will design, construct, operate, and decommission the structural elements or components of the project in accordance with GIIP, taking into consideration safety risks to third parties or Affected Communities. When new buildings and structures will be accessed by members of the public, the client will consider incremental risks of the public's potential exposure to operational accidents and/or natural hazards and be consistent with the principles of universal access. Structural elements will be designed and constructed by competent professionals, and certified or approved by competent authorities or professionals. When structural elements or components, such as dams, tailings dams, or ash ponds are situated in high-risk locations, and their failure or malfunction may threaten the safety of communities, the client will engage one or more external experts with relevant and recognized experience in similar projects, separate from those responsible for the design and construction, to conduct a review as early as possible in project development and throughout the stages of project design, construction, operation, and decommissioning. For projects that operate moving equipment on public roads and other forms of infrastructure, the client will seek to avoid the occurrence of incidents and injuries to members of the public associated with the operation of such equipment.

### Hazardous Materials Management and Safety

7. The client will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project. Where there is a potential for the public (including workers and their families) to be exposed to hazards, particularly those that may be life-threatening, the client will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards. Where hazardous materials are part of existing project infrastructure or components, the client will exercise special care when conducting decommissioning activities in order to avoid exposure to the community. The client will exercise commercially reasonable efforts to control the safety of deliveries of hazardous materials, and of transportation and disposal of hazardous wastes, and will implement measures to avoid or control community exposure to pesticides, in accordance with the requirements of Performance Standard 3.

### Ecosystem Services

8. The project's direct impacts on priority ecosystem services may result in adverse health and safety risks and impacts to Affected Communities. With respect to this Performance Standard, ecosystem services are limited to provisioning and regulating services as defined in paragraph 2 of Performance Standard 6. For example, land use changes or the loss of natural buffer areas such as wetlands, mangroves, and upland forests that mitigate the effects of natural hazards such as flooding, landslides, and fire, may result in increased vulnerability and community safety-related risks and impacts. The diminution or degradation of natural resources, such as adverse impacts on the quality, quantity, and availability of freshwater,<sup>2</sup> may result in health-related risks and impacts. Where appropriate and feasible, the client will identify those risks and potential impacts on priority ecosystem services that may be exacerbated by climate change. Adverse impacts should be avoided, and if these impacts are unavoidable, the client will implement mitigation measures in accordance with paragraphs 24 and 25 of Performance Standard 6. With respect to the use of and loss of access to provisioning services, clients will implement mitigation measures in accordance with paragraphs 25–29 of Performance Standard 5.

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<sup>2</sup> Freshwater is an example of provisioning ecosystem services.

## Performance Standard 4 Community Health, Safety, and Security

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### Community Exposure to Disease

9. The client will avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and vector-borne diseases, and communicable diseases that could result from project activities, taking into consideration differentiated exposure to and higher sensitivity of vulnerable groups. Where specific diseases are endemic in communities in the project area of influence, the client is encouraged to explore opportunities during the project life-cycle to improve environmental conditions that could help minimize their incidence.

10. The client will avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labor.

### Emergency Preparedness and Response

11. In addition to the emergency preparedness and response requirements described in Performance Standard 1, the client will also assist and collaborate with the Affected Communities, local government agencies, and other relevant parties, in their preparations to respond effectively to emergency situations, especially when their participation and collaboration are necessary to respond to such emergency situations. If local government agencies have little or no capacity to respond effectively, the client will play an active role in preparing for and responding to emergencies associated with the project. The client will document its emergency preparedness and response activities, resources, and responsibilities, and will disclose appropriate information to Affected Communities, relevant government agencies, or other relevant parties.

### Security Personnel

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12. When the client retains direct or contracted workers to provide security to safeguard its personnel and property, it will assess risks posed by its security arrangements to those within and outside the project site. In making such arrangements, the client will be guided by the principles of proportionality and good international practice<sup>3</sup> in relation to hiring, rules of conduct, training, equipping, and monitoring of such workers, and by applicable law. The client will make reasonable inquiries to ensure that those providing security are not implicated in past abuses; will train them adequately in the use of force (and where applicable, firearms), and appropriate conduct toward workers and Affected Communities; and require them to act within the applicable law. The client will not sanction any use of force except when used for preventive and defensive purposes in proportion to the nature and extent of the threat. The client will provide a grievance mechanism for Affected Communities to express concerns about the security arrangements and acts of security personnel.

13. The client will assess and document risks arising from the project's use of government security personnel deployed to provide security services. The client will seek to ensure that security personnel will act in a manner consistent with paragraph 12 above, and encourage the relevant public authorities to disclose the security arrangements for the client's facilities to the public, subject to overriding security concerns.

14. The client will consider and, where appropriate, investigate all allegations of unlawful or abusive acts of security personnel, take action (or urge appropriate parties to take action) to prevent recurrence, and report unlawful and abusive acts to public authorities.

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<sup>3</sup> Including practice consistent with the United Nation's (UN) Code of Conduct for Law Enforcement Officials, and UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials.

### Introduction

1. Performance Standard 5 recognizes that project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons that use this land. Involuntary resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood<sup>1</sup>) as a result of project-related land acquisition<sup>2</sup> and/or restrictions on land use. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement. This occurs in cases of (i) lawful expropriation or temporary or permanent restrictions on land use and (ii) negotiated settlements in which the buyer can resort to expropriation or impose legal restrictions on land use if negotiations with the seller fail.

2. Unless properly managed, involuntary resettlement may result in long-term hardship and impoverishment for the Affected Communities and persons, as well as environmental damage and adverse socio-economic impacts in areas to which they have been displaced. For these reasons, involuntary resettlement should be avoided. However, where involuntary resettlement is unavoidable, it should be minimized and appropriate measures to mitigate adverse impacts on displaced persons and host communities<sup>3</sup> should be carefully planned and implemented. The government often plays a central role in the land acquisition and resettlement process, including the determination of compensation, and is therefore an important third party in many situations. Experience demonstrates that the direct involvement of the client in resettlement activities can result in more cost-effective, efficient, and timely implementation of those activities, as well as in the introduction of innovative approaches to improving the livelihoods of those affected by resettlement.

3. To help avoid expropriation and eliminate the need to use governmental authority to enforce relocation, clients are encouraged to use negotiated settlements meeting the requirements of this Performance Standard, even if they have the legal means to acquire land without the seller's consent.

### Objectives

- To avoid, and when avoidance is not possible, minimize displacement by exploring alternative project designs.
- To avoid forced eviction.
- To anticipate and avoid, or where avoidance is not possible, minimize adverse social and economic impacts from land acquisition or restrictions on land use by (i) providing compensation for loss of assets at replacement cost<sup>4</sup> and (ii) ensuring

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<sup>1</sup> The term "livelihood" refers to the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.

<sup>2</sup> Land acquisition includes both outright purchases of property and acquisition of access rights, such as easements or rights of way.

<sup>3</sup> A host community is any community receiving displaced persons.

<sup>4</sup> Replacement cost is defined as the market value of the assets plus transaction costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account. Market value is defined as the value required to allow Affected Communities and persons to replace lost assets with assets of similar value. The valuation method for determining replacement cost should be documented and included in applicable Resettlement and/or Livelihood Restoration plans (see paragraphs 18 and 25).

## Performance Standard 5 Land Acquisition and Involuntary Resettlement

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that resettlement activities are implemented with appropriate disclosure of information, consultation, and the informed participation of those affected.

- To improve, or restore, the livelihoods and standards of living of displaced persons.
- To improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure<sup>5</sup> at resettlement sites.

### Scope of Application

4. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System, the elements of which are outlined in Performance Standard 1.

5. This Performance Standard applies to physical and/or economic displacement resulting from the following types of land-related transactions:

- Land rights or land use rights acquired through expropriation or other compulsory procedures in accordance with the legal system of the host country;
- Land rights or land use rights acquired through negotiated settlements with property owners or those with legal rights to the land if failure to reach settlement would have resulted in expropriation or other compulsory procedures;<sup>6</sup>
- Project situations where involuntary restrictions on land use and access to natural resources cause a community or groups within a community to lose access to resource usage where they have traditional or recognizable usage rights;<sup>7</sup>
- Certain project situations requiring evictions of people occupying land without formal, traditional, or recognizable usage rights;<sup>8</sup> or
- Restriction on access to land or use of other resources including communal property and natural resources such as marine and aquatic resources, timber and non-timber forest products, freshwater, medicinal plants, hunting and gathering grounds and grazing and cropping areas.<sup>9</sup>

6. This Performance Standard does not apply to resettlement resulting from voluntary land transactions (i.e., market transactions in which the seller is not obliged to sell and the buyer cannot resort to expropriation or other compulsory procedures sanctioned by the legal system of the host country if negotiations fail). It also does not apply to impacts on livelihoods where the project is not changing the land use of the affected groups or communities.<sup>10</sup>

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<sup>5</sup> Security of tenure means that resettled individuals or communities are resettled to a site that they can legally occupy and where they are protected from the risk of eviction.

<sup>6</sup> This also applies to customary or traditional rights recognized or recognizable under the laws of the host country. The negotiations may be carried out by the government or by the company (in some circumstances, as an agent of the government).

<sup>7</sup> In such situations, affected persons frequently do not have formal ownership. This may include freshwater and marine environments. This Performance Standard may also apply when project-related biodiversity areas or legally designated buffer zones are established but not acquired by the client.

<sup>8</sup> While some people do not have rights over the land they occupy, this Performance Standard requires that non-land assets be retained, replaced, or compensated for; relocation take place with security of tenure; and lost livelihoods be restored.

<sup>9</sup> Natural resource assets referred to in this Performance Standard are equivalent to ecosystem provisioning services as described in Performance Standard 6.

<sup>10</sup> More generalized impacts on communities or groups of people are covered in Performance Standard 1. For example, disruption of access to mineral deposits by artisanal miners is covered by Performance Standard 1.

7. Where project impacts on land, assets, or access to assets become significantly adverse at any stage of the project, the client should consider applying requirements of this Performance Standard, even where no land acquisition or land use restriction is involved.

### Requirements

#### General

##### Project Design

8. The client will consider feasible alternative project designs to avoid or minimize physical and/or economic displacement, while balancing environmental, social, and financial costs and benefits, paying particular attention to impacts on the poor and vulnerable.

##### Compensation and Benefits for Displaced Persons

9. When displacement cannot be avoided, the client will offer displaced communities and persons compensation for loss of assets at full replacement cost and other assistance<sup>11</sup> to help them improve or restore their standards of living or livelihoods, as provided in this Performance Standard. Compensation standards will be transparent and applied consistently to all communities and persons affected by the displacement. Where livelihoods of displaced persons are land-based,<sup>12</sup> or where land is collectively owned, the client will, where feasible,<sup>13</sup> offer the displaced land-based compensation. The client will take possession of acquired land and related assets only after compensation has been made available<sup>14</sup> and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons in addition to compensation.<sup>15</sup> The client will also provide opportunities to displaced communities and persons to derive appropriate development benefits from the project.

##### Community Engagement

10. The client will engage with Affected Communities, including host communities, through the process of stakeholder engagement described in Performance Standard 1. Decision-making processes related to resettlement and livelihood restoration should include options and alternatives, where applicable. Disclosure of relevant information and participation of Affected Communities and persons will continue during the planning, implementation, monitoring, and evaluation of compensation payments, livelihood restoration activities, and resettlement to achieve outcomes that are consistent with the objectives of this Performance Standard.<sup>16</sup> Additional provisions apply to consultations with Indigenous Peoples, in accordance with Performance Standard 7.

<sup>11</sup> As described in paragraphs 19 and 26.

<sup>12</sup> The term "land-based" includes livelihood activities such as subsistence cropping and grazing of livestock as well as the harvesting of natural resources.

<sup>13</sup> Refer to paragraph 26 of this Performance Standard for further requirements.

<sup>14</sup> In certain cases it may not be feasible to pay compensation to all those affected before taking possession of the land, for example when the ownership of the land in question is in dispute. Such circumstances shall be identified and agreed on a case-by-case basis, and compensation funds shall be made available for example through deposit into an escrow account before displacement takes place.

<sup>15</sup> Unless government-managed resettlement is involved and where the client has no direct influence over the timing of compensation payments. Such cases should be handled in accordance with paragraphs 27–29 of this Performance Standard. Staggered compensation payments may be made where one-off cash payments would demonstrably undermine social and/or resettlement objectives, or where there are ongoing impacts to livelihood activities.

<sup>16</sup> The consultation process should ensure that women's perspectives are obtained and their interests factored into all aspects of resettlement planning and implementation. Addressing livelihood impacts may require intra-household analysis in cases where women's and men's livelihoods are affected differently. Women's and men's preferences in terms of compensation mechanisms, such as compensation in kind rather than in cash, should be explored.



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### Grievance Mechanism

11. The client will establish a grievance mechanism consistent with Performance Standard 1 as early as possible in the project development phase. This will allow the client to receive and address specific concerns about compensation and relocation raised by displaced persons or members of host communities in a timely fashion, including a recourse mechanism designed to resolve disputes in an impartial manner.

### Resettlement and Livelihood Restoration Planning and Implementation

12. Where involuntary resettlement is unavoidable, either as a result of a negotiated settlement or expropriation, a census will be carried out to collect appropriate socio-economic baseline data to identify the persons who will be displaced by the project, determine who will be eligible for compensation and assistance,<sup>17</sup> and discourage ineligible persons, such as opportunistic settlers, from claiming benefits. In the absence of host government procedures, the client will establish a cut-off date for eligibility. Information regarding the cut-off date will be well documented and disseminated throughout the project area.

13. In cases where affected persons reject compensation offers that meet the requirements of this Performance Standard and, as a result, expropriation or other legal procedures are initiated, the client will explore opportunities to collaborate with the responsible government agency, and, if permitted by the agency, play an active role in resettlement planning, implementation, and monitoring (see paragraphs 30–32).

14. The client will establish procedures to monitor and evaluate the implementation of a Resettlement Action Plan or Livelihood Restoration Plan (see paragraphs 19 and 25) and take corrective action as necessary. The extent of monitoring activities will be commensurate with the project's risks and impacts. For projects with significant involuntary resettlement risks, the client will retain competent resettlement professionals to provide advice on compliance with this Performance Standard and to verify the client's monitoring information. Affected persons will be consulted during the monitoring process.

15. Implementation of a Resettlement Action Plan or Livelihood Restoration Plan will be considered completed when the adverse impacts of resettlement have been addressed in a manner that is consistent with the relevant plan as well as the objectives of this Performance Standard. It may be necessary for the client to commission an external completion audit of the Resettlement Action Plan or Livelihood Restoration Plan to assess whether the provisions have been met, depending on the scale and/or complexity of physical and economic displacement associated with a project. The completion audit should be undertaken once all mitigation measures have been substantially completed and once displaced persons are deemed to have been provided adequate opportunity and assistance to sustainably restore their livelihoods. The completion audit will be undertaken by competent resettlement professionals once the agreed monitoring period is concluded. The completion audit will include, at a minimum, a review of the totality of mitigation measures implemented by the Client, a comparison of implementation outcomes against agreed objectives, and a conclusion as to whether the monitoring process can be ended.<sup>18</sup>

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<sup>17</sup> Documentation of ownership or occupancy and compensation arrangements should be issued in the names of both spouses or heads of households, and other resettlement assistance, such as skills training, access to credit, and job opportunities, should be equally available to women and adapted to their needs. Where national law and tenure systems do not recognize the rights of women to hold or contract in property, measures should be considered to provide women as much protection as possible with the objective to achieve equity with men.

<sup>18</sup> The completion audit of the Resettlement Action Plan and/or Livelihood Restoration Plan, will be undertaken by external resettlement experts once the agreed monitoring period is concluded, and will involve a more in-depth assessment than regular resettlement monitoring activities, including at a minimum a review of all mitigation

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16. Where the exact nature or magnitude of the land acquisition or restrictions on land use related to a project with potential to cause physical and/or economic displacement is unknown due to the stage of project development, the client will develop a Resettlement and/or Livelihood Restoration Framework outlining general principles compatible with this Performance Standard. Once the individual project components are defined and the necessary information becomes available, such a framework will be expanded into a specific Resettlement Action Plan or Livelihood Restoration Plan and procedures in accordance with paragraphs 19 and 25 below.

### **Displacement**

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17. Displaced persons may be classified as persons (i) who have formal legal rights to the land or assets they occupy or use; (ii) who do not have formal legal rights to land or assets, but have a claim to land that is recognized or recognizable under national law;<sup>19</sup> or (iii) who have no recognizable legal right or claim to the land or assets they occupy or use. The census will establish the status of the displaced persons.

18. Project-related land acquisition and/or restrictions on land use may result in the physical displacement of people as well as their economic displacement. Consequently, requirements of this Performance Standard in respect of physical displacement and economic displacement may apply simultaneously.<sup>20</sup>

### *Physical Displacement*

19. In the case of physical displacement, the client will develop a Resettlement Action Plan that covers, at a minimum, the applicable requirements of this Performance Standard regardless of the number of people affected. This will include compensation at full replacement cost for land and other assets lost. The Plan will be designed to mitigate the negative impacts of displacement; identify development opportunities; develop a resettlement budget and schedule; and establish the entitlements of all categories of affected persons (including host communities). Particular attention will be paid to the needs of the poor and the vulnerable. The client will document all transactions to acquire land rights, as well as compensation measures and relocation activities.

20. If people living in the project area are required to move to another location, the client will (i) offer displaced persons choices among feasible resettlement options, including adequate replacement housing or cash compensation where appropriate; and (ii) provide relocation assistance suited to the needs of each group of displaced persons. New resettlement sites built for displaced persons must offer improved living conditions. The displaced persons' preferences with respect to relocating in preexisting communities and groups will be taken into consideration. Existing social and cultural institutions of the displaced persons and any host communities will be respected.

21. In the case of physically displaced persons under paragraph 17 (i) or (ii), the client will offer the choice of replacement property of equal or higher value, security of tenure, equivalent or better characteristics, and advantages of location or cash compensation where appropriate. Compensation

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measures with respect to the physical and/or economic displacement implemented by the Client, a comparison of implementation outcomes against agreed objectives, a conclusion as to whether the monitoring process can be ended and, where necessary, a Corrective Action Plan listing outstanding actions necessary to met the objectives.

<sup>19</sup> Such claims could be derived from adverse possession or from customary or traditional tenure arrangements.

<sup>20</sup> Where a project results in both physical and economic displacement, the requirements of paragraphs 25 and 26 (Economic Displacement) should be incorporated into the Resettlement Action Plan or Framework (i.e., there is no need to have a separate Resettlement Action Plan and Livelihood Restoration Plan).



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in kind should be considered in lieu of cash. Cash compensation levels should be sufficient to replace the lost land and other assets at full replacement cost in local markets.<sup>21</sup>

22. In the case of physically displaced persons under paragraph 17 (iii), the client will offer them a choice of options for adequate housing with security of tenure so that they can resettle legally without having to face the risk of forced eviction. Where these displaced persons own and occupy structures, the client will compensate them for the loss of assets other than land, such as dwellings and other improvements to the land, at full replacement cost, provided that these persons have been occupying the project area prior to the cut-off date for eligibility. Based on consultation with such displaced persons, the client will provide relocation assistance sufficient for them to restore their standard of living at an adequate alternative site.<sup>22</sup>

23. The client is not required to compensate or assist those who encroach on the project area after the cut-off date for eligibility, provided the cut-off date has been clearly established and made public.

24. Forced evictions<sup>23</sup> will not be carried out except in accordance with law and the requirements of this Performance Standard.

### Economic Displacement

25. In the case of projects involving economic displacement only, the client will develop a Livelihood Restoration Plan to compensate affected persons and/or communities and offer other assistance that meet the objectives of this Performance Standard. The Livelihood Restoration Plan will establish the entitlements of affected persons and/or communities and will ensure that these are provided in a transparent, consistent, and equitable manner. The mitigation of economic displacement will be considered complete when affected persons or communities have received compensation and other assistance according to the requirements of the Livelihood Restoration Plan and this Performance Standard, and are deemed to have been provided with adequate opportunity to reestablish their livelihoods.

26. If land acquisition or restrictions on land use result in economic displacement defined as loss of assets and/or means of livelihood, regardless of whether or not the affected people are physically displaced, the client will meet the requirements in paragraphs 27–29 below, as applicable.

27. Economically displaced persons who face loss of assets or access to assets will be compensated for such loss at full replacement cost.

- In cases where land acquisition or restrictions on land use affect commercial structures, affected business owners will be compensated for the cost of reestablishing commercial activities elsewhere, for lost net income during the

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<sup>21</sup> Payment of cash compensation for lost assets may be appropriate where (i) livelihoods are not land-based; (ii) livelihoods are land-based but the land taken for the project is a small fraction of the affected asset and the residual land is economically viable; or (iii) active markets for land, housing, and labor exist, displaced persons use such markets, and there is sufficient supply of land and housing.

<sup>22</sup> Relocation of informal settlers in urban areas may involve trade-offs. For example, the relocated families may gain security of tenure, but they may lose advantages of location. Changes in location that may affect livelihood opportunities should be addressed in accordance with the principles of this Performance Standard (see in particular paragraph 25).

<sup>23</sup> The permanent or temporary removal against the will of individuals, families, and/or communities from the homes and/or lands which they occupy without the provision of, and access to, appropriate forms of legal and other protection.

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### **Land Acquisition and Involuntary Resettlement**

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period of transition, and for the costs of the transfer and reinstallation of the plant, machinery, or other equipment.

- In cases affecting persons with legal rights or claims to land which are recognized or recognizable under national law (see paragraph 17 (i) and (ii)), replacement property (e.g., agricultural or commercial sites) of equal or greater value will be provided, or, where appropriate, cash compensation at full replacement cost.
- Economically displaced persons who are without legally recognizable claims to land (see paragraph 17 (iii)) will be compensated for lost assets other than land (such as crops, irrigation infrastructure and other improvements made to the land), at full replacement cost. The client is not required to compensate or assist opportunistic settlers who encroach on the project area after the cut-off date for eligibility.

28. In addition to compensation for lost assets, if any, as required under paragraph 27, economically displaced persons whose livelihoods or income levels are adversely affected will also be provided opportunities to improve, or at least restore, their means of income-earning capacity, production levels, and standards of living:

- For persons whose livelihoods are land-based, replacement land that has a combination of productive potential, locational advantages, and other factors at least equivalent to that being lost should be offered as a matter of priority.
- For persons whose livelihoods are natural resource-based and where project-related restrictions on access envisaged in paragraph 5 apply, implementation of measures will be made to either allow continued access to affected resources or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where appropriate, benefits and compensation associated with natural resource usage may be collective in nature rather than directly oriented towards individuals or households.
- If circumstances prevent the client from providing land or similar resources as described above, alternative income earning opportunities may be provided, such as credit facilities, training, cash, or employment opportunities. Cash compensation alone, however, is frequently insufficient to restore livelihoods.

29. Transitional support should be provided as necessary to all economically displaced persons, based on a reasonable estimate of the time required to restore their income-earning capacity, production levels, and standards of living.

#### **Private Sector Responsibilities Under Government-Managed Resettlement**

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30. Where land acquisition and resettlement are the responsibility of the government, the client will collaborate with the responsible government agency, to the extent permitted by the agency, to achieve outcomes that are consistent with this Performance Standard. In addition, where government capacity is limited, the client will play an active role during resettlement planning, implementation, and monitoring, as described below.

31. In the case of acquisition of land rights or access to land through compulsory means or negotiated settlements involving physical displacement, the client will identify and describe<sup>24</sup> government resettlement measures. If these measures do not meet the relevant requirements of this Performance Standard, the client will prepare a Supplemental Resettlement Plan that, together with

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<sup>24</sup> Government documents, where available, may be used to identify such measures.

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the documents prepared by the responsible government agency, will address the relevant requirements of this Performance Standard (the General Requirements and requirements for Physical Displacement and Economic Displacement above). The client will need to include in its Supplemental Resettlement Plan, at a minimum (i) identification of affected people and impacts; (ii) a description of regulated activities, including the entitlements of displaced persons provided under applicable national laws and regulations; (iii) the supplemental measures to achieve the requirements of this Performance Standard as described in paragraphs 19–29 in a way that is permitted by the responsible agency and implementation time schedule; and (iv) the financial and implementation responsibilities of the client in the execution of its Supplemental Resettlement Plan.

32. In the case of projects involving economic displacement only, the client will identify and describe the measures that the responsible government agency plans to use to compensate Affected Communities and persons. If these measures do not meet the relevant requirements of this Performance Standard, the client will develop an Environmental and Social Action Plan to complement government action. This may include additional compensation for lost assets, and additional efforts to restore lost livelihoods where applicable.

## Performance Standard 6

### Biodiversity Conservation and Sustainable Management of Living Natural Resources

January 1, 2012

#### Introduction

1. Performance Standard 6 recognizes that protecting and conserving biodiversity, maintaining ecosystem services, and sustainably managing living natural resources are fundamental to sustainable development. The requirements set out in this Performance Standard have been guided by the Convention on Biological Diversity, which defines biodiversity as “the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems.”

2. Ecosystem services are the benefits that people, including businesses, derive from ecosystems. Ecosystem services are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems; and (iv) supporting services, which are the natural processes that maintain the other services.<sup>1</sup>

3. Ecosystem services valued by humans are often underpinned by biodiversity. Impacts on biodiversity can therefore often adversely affect the delivery of ecosystem services. This Performance Standard addresses how clients can sustainably manage and mitigate impacts on biodiversity and ecosystem services throughout the project’s lifecycle.

#### Objectives

- To protect and conserve biodiversity.
- To maintain the benefits from ecosystem services.
- To promote the sustainable management of living natural resources through the adoption of practices that integrate conservation needs and development priorities.

#### Scope of Application

4. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client’s Environmental and Social Management System (ESMS), the elements of which are outlined in Performance Standard 1.

5. Based on the risks and impacts identification process, the requirements of this Performance Standard are applied to projects (i) located in modified, natural, and critical habitats; (ii) that potentially impact on or are dependent on ecosystem services over which the client has direct management control or significant influence; or (iii) that include the production of living natural resources (e.g., agriculture, animal husbandry, fisheries, forestry).

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<sup>1</sup> Examples are as follows: (i) provisioning services may include food, freshwater, timber, fibers, medicinal plants; (ii) regulating services may include surface water purification, carbon storage and sequestration, climate regulation, protection from natural hazards; (iii) cultural services may include natural areas that are sacred sites and areas of importance for recreation and aesthetic enjoyment; and (iv) supporting services may include soil formation, nutrient cycling, primary production.

#### Requirements

##### General

6. The risks and impacts identification process as set out in Performance Standard 1 should consider direct and indirect project-related impacts on biodiversity and ecosystem services and identify any significant residual impacts. This process will consider relevant threats to biodiversity and ecosystem services, especially focusing on habitat loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, and pollution. It will also take into account the differing values attached to biodiversity and ecosystem services by Affected Communities and, where appropriate, other stakeholders. Where paragraphs 13–19 are applicable, the client should consider project-related impacts across the potentially affected landscape or seascape.

7. As a matter of priority, the client should seek to avoid impacts on biodiversity and ecosystem services. When avoidance of impacts is not possible, measures to minimize impacts and restore biodiversity and ecosystem services should be implemented. Given the complexity in predicting project impacts on biodiversity and ecosystem services over the long term, the client should adopt a practice of adaptive management in which the implementation of mitigation and management measures are responsive to changing conditions and the results of monitoring throughout the project's lifecycle.

8. Where paragraphs 13–15 are applicable, the client will retain competent professionals to assist in conducting the risks and impacts identification process. Where paragraphs 16–19 are applicable, the client should retain external experts with appropriate regional experience to assist in the development of a mitigation hierarchy that complies with this Performance Standard and to verify the implementation of those measures.

##### Protection and Conservation of Biodiversity

9. Habitat is defined as a terrestrial, freshwater, or marine geographical unit or airway that supports assemblages of living organisms and their interactions with the non-living environment. For the purposes of implementation of this Performance Standard, habitats are divided into modified, natural, and critical. Critical habitats are a subset of modified or natural habitats.

10. For the protection and conservation of biodiversity, the mitigation hierarchy includes biodiversity offsets, which may be considered only after appropriate avoidance, minimization, and restoration measures have been applied.<sup>2</sup> A biodiversity offset should be designed and implemented to achieve measurable conservation outcomes<sup>3</sup> that can reasonably be expected to result in no net loss and preferably a net gain of biodiversity; however, a net gain is required in critical habitats. The design of a biodiversity offset must adhere to the “like-for-like or better” principle<sup>4</sup> and must be carried out in

<sup>2</sup> Biodiversity offsets are measurable conservation outcomes resulting from actions designed to compensate for significant residual adverse biodiversity impacts arising from project development and persisting after appropriate avoidance, minimization and restoration measures have been taken.

<sup>3</sup> Measurable conservation outcomes for biodiversity must be demonstrated in situ (on-the-ground) and on an appropriate geographic scale (e.g., local, landscape-level, national, regional).

<sup>4</sup> The principle of “like-for-like or better” indicates that biodiversity offsets must be designed to conserve the same biodiversity values that are being impacted by the project (an “in-kind” offset). In certain situations, however, areas of biodiversity to be impacted by the project may be neither a national nor a local priority, and there may be other areas of biodiversity with like values that are a higher priority for conservation and sustainable use and under imminent threat or need of protection or effective management. In these situations, it may be appropriate to consider an “out-of-kind” offset that involves “trading up” (i.e., where the offset targets biodiversity of higher

## Performance Standard 6

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alignment with best available information and current practices. When a client is considering the development of an offset as part of the mitigation strategy, external experts with knowledge in offset design and implementation must be involved.

#### Modified Habitat

11. Modified habitats are areas that may contain a large proportion of plant and/or animal species of non-native origin, and/or where human activity has substantially modified an area's primary ecological functions and species composition.<sup>5</sup> Modified habitats may include areas managed for agriculture, forest plantations, reclaimed<sup>6</sup> coastal zones, and reclaimed wetlands.

12. This Performance Standard applies to those areas of modified habitat that include significant biodiversity value, as determined by the risks and impacts identification process required in Performance Standard 1. The client should minimize impacts on such biodiversity and implement mitigation measures as appropriate.

#### Natural Habitat

13. Natural habitats are areas composed of viable assemblages of plant and/or animal species of largely native origin, and/or where human activity has not essentially modified an area's primary ecological functions and species composition.

14. The client will not significantly convert or degrade<sup>7</sup> natural habitats, unless all of the following are demonstrated:

- No other viable alternatives within the region exist for development of the project on modified habitat;
- Consultation has established the views of stakeholders, including Affected Communities, with respect to the extent of conversion and degradation;<sup>8</sup> and
- Any conversion or degradation is mitigated according to the mitigation hierarchy.

15. In areas of natural habitat, mitigation measures will be designed to achieve no net loss<sup>9</sup> of biodiversity where feasible. Appropriate actions include:

- Avoiding impacts on biodiversity through the identification and protection of set-asides;<sup>10</sup>

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priority than that affected by the project) that will, for critical habitats, meet the requirements of paragraph 17 of this Performance Standard.

<sup>5</sup> This excludes habitat that has been converted in anticipation of the project.

<sup>6</sup> Reclamation as used in this context is the process of creating new land from sea or other aquatic areas for productive use.

<sup>7</sup> Significant conversion or degradation is (i) the elimination or severe diminution of the integrity of a habitat caused by a major and/or long-term change in land or water use; or (ii) a modification that substantially minimizes the habitat's ability to maintain viable populations of its native species.

<sup>8</sup> Conducted as part of the stakeholder engagement and consultation process, as described in Performance Standard 1.

<sup>9</sup> No net loss is defined as the point at which project-related impacts on biodiversity are balanced by measures taken to avoid and minimize the project's impacts, to undertake on-site restoration and finally to offset significant residual impacts, if any, on an appropriate geographic scale (e.g., local, landscape-level, national, regional).

<sup>10</sup> Set-asides are land areas within the project site, or areas over which the client has management control, that are excluded from development and are targeted for the implementation of conservation enhancement measures. Set-asides will likely contain significant biodiversity values and/or provide ecosystem services of significance at the local, national and/or regional level. Set-asides should be defined using internationally recognized approaches or methodologies (e.g., High Conservation Value, systematic conservation planning).

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- Implementing measures to minimize habitat fragmentation, such as biological corridors;
- Restoring habitats during operations and/or after operations; and
- Implementing biodiversity offsets.

#### Critical Habitat

16. Critical habitats are areas with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered<sup>11</sup> species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.

17. In areas of critical habitat, the client will not implement any project activities unless all of the following are demonstrated:

- No other viable alternatives within the region exist for development of the project on modified or natural habitats that are not critical;
- The project does not lead to measurable adverse impacts on those biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values;<sup>12</sup>
- The project does not lead to a net reduction in the global and/or national/regional population<sup>13</sup> of any Critically Endangered or Endangered species over a reasonable period of time;<sup>14</sup> and
- A robust, appropriately designed, and long-term biodiversity monitoring and evaluation program is integrated into the client's management program.

18. In such cases where a client is able to meet the requirements defined in paragraph 17, the project's mitigation strategy will be described in a Biodiversity Action Plan and will be designed to achieve net gains<sup>15</sup> of those biodiversity values for which the critical habitat was designated.

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<sup>11</sup> As listed on the International Union for the Conservation of Nature (IUCN) Red List of Threatened Species. The determination of critical habitat based on other listings is as follows: (i) If the species is listed nationally / regionally as critically endangered or endangered, in countries that have adhered to IUCN guidance, the critical habitat determination will be made on a project by project basis in consultation with competent professionals; and (ii) in instances where nationally or regionally listed species' categorizations do not correspond well to those of the IUCN (e.g., some countries more generally list species as "protected" or "restricted"), an assessment will be conducted to determine the rationale and purpose of the listing. In this case, the critical habitat determination will be based on such an assessment.

<sup>12</sup> Biodiversity values and their supporting ecological processes will be determined on an ecologically relevant scale.

<sup>13</sup> Net reduction is a singular or cumulative loss of individuals that impacts on the species' ability to persist at the global and/or regional/national scales for many generations or over a long period of time. The scale (i.e., global and/or regional/national) of the potential net reduction is determined based on the species' listing on either the (global) IUCN Red List and/or on regional/national lists. For species listed on both the (global) IUCN Red List and the national/regional lists, the net reduction will be based on the national/regional population.

<sup>14</sup> The timeframe in which clients must demonstrate "no net reduction" of Critically Endangered and Endangered species will be determined on a case-by-case basis in consultation with external experts.

<sup>15</sup> Net gains are additional conservation outcomes that can be achieved for the biodiversity values for which the critical habitat was designated. Net gains may be achieved through the development of a biodiversity offset and/or, in instances where the client could meet the requirements of paragraph 17 of this Performance Standard without a biodiversity offset, the client should achieve net gains through the implementation of programs that could be implemented in situ (on-the-ground) to enhance habitat, and protect and conserve biodiversity.



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19. In instances where biodiversity offsets are proposed as part of the mitigation strategy, the client must demonstrate through an assessment that the project's significant residual impacts on biodiversity will be adequately mitigated to meet the requirements of paragraph 17.

#### Legally Protected and Internationally Recognized Areas

20. In circumstances where a proposed project is located within a legally protected area<sup>16</sup> or an internationally recognized area,<sup>17</sup> the client will meet the requirements of paragraphs 13 through 19 of this Performance Standard, as applicable. In addition, the client will:

- Demonstrate that the proposed development in such areas is legally permitted;
- Act in a manner consistent with any government recognized management plans for such areas;
- Consult protected area sponsors and managers, Affected Communities, Indigenous Peoples and other stakeholders on the proposed project, as appropriate; and
- Implement additional programs, as appropriate, to promote and enhance the conservation aims and effective management of the area.<sup>18</sup>

#### Invasive Alien Species

21. Intentional or accidental introduction of alien, or non-native, species of flora and fauna into areas where they are not normally found can be a significant threat to biodiversity, since some alien species can become invasive, spreading rapidly and out-competing native species.

22. The client will not intentionally introduce any new alien species (not currently established in the country or region of the project) unless this is carried out in accordance with the existing regulatory framework for such introduction. Notwithstanding the above, the client will not deliberately introduce any alien species with a high risk of invasive behavior regardless of whether such introductions are permitted under the existing regulatory framework. All introductions of alien species will be subject to a risk assessment (as part of the client's environmental and social risks and impacts identification process) to determine the potential for invasive behavior. The client will implement measures to avoid the potential for accidental or unintended introductions including the transportation of substrates and vectors (such as soil, ballast, and plant materials) that may harbor alien species.

23. Where alien species are already established in the country or region of the proposed project, the client will exercise diligence in not spreading them into areas in which they have not already been established. As practicable, the client should take measures to eradicate such species from the natural habitats over which they have management control.

#### **Management of Ecosystem Services**

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24. Where a project is likely to adversely impact ecosystem services, as determined by the risks and impacts identification process, the client will conduct a systematic review to identify priority

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<sup>16</sup> This Performance Standard recognizes legally protected areas that meet the IUCN definition: "A clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values." For the purposes of this Performance Standard, this includes areas proposed by governments for such designation.

<sup>17</sup> Exclusively defined as UNESCO Natural World Heritage Sites, UNESCO Man and the Biosphere Reserves, Key Biodiversity Areas, and wetlands designated under the Convention on Wetlands of International Importance (the Ramsar Convention).

<sup>18</sup> Implementing additional programs may not be necessary for projects that do not create a new footprint.



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ecosystem services. Priority ecosystem services are two-fold: (i) those services on which project operations are most likely to have an impact and, therefore, which result in adverse impacts to Affected Communities; and/or (ii) those services on which the project is directly dependent for its operations (e.g., water). When Affected Communities are likely to be impacted, they should participate in the determination of priority ecosystem services in accordance with the stakeholder engagement process as defined in Performance Standard 1.

25. With respect to impacts on priority ecosystem services of relevance to Affected Communities and where the client has direct management control or significant influence over such ecosystem services, adverse impacts should be avoided. If these impacts are unavoidable, the client will minimize them and implement mitigation measures that aim to maintain the value and functionality of priority services. With respect to impacts on priority ecosystem services on which the project depends, clients should minimize impacts on ecosystem services and implement measures that increase resource efficiency of their operations, as described in Performance Standard 3. Additional provisions for ecosystem services are included in Performance Standards 4, 5, 7, and 8.<sup>19</sup>

#### **Sustainable Management of Living Natural Resources**

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26. Clients who are engaged in the primary production of living natural resources, including natural and plantation forestry, agriculture, animal husbandry, aquaculture, and fisheries, will be subject to the requirements of paragraphs 26 through 30, in addition to the rest of this Performance Standard. Where feasible, the client will locate land-based agribusiness and forestry projects on unforested land or land already converted. Clients who are engaged in such industries will manage living natural resources in a sustainable manner, through the application of industry-specific good management practices and available technologies. Where such primary production practices are codified in globally, regionally, or nationally recognized standards, the client will implement sustainable management practices to one or more relevant and credible standards as demonstrated by independent verification or certification.

27. Credible globally, regionally, or nationally recognized standards for sustainable management of living natural resources are those which (i) are objective and achievable; (ii) are founded on a multi-stakeholder consultative process; (iii) encourage step-wise and continual improvements; and (iv) provide for independent verification or certification through appropriate accredited bodies for such standards.<sup>20</sup>

28. Where relevant and credible standard(s) exist, but the client has not yet obtained independent verification or certification to such standard(s), the client will conduct a pre-assessment of its conformity to the applicable standard(s) and take actions to achieve such verification or certification over an appropriate period of time.

29. In the absence of a relevant and credible global, regional, or national standard for the particular living natural resource in the country concerned, the client will:

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<sup>19</sup> Ecosystem service references are located in Performance Standard 4, paragraph 8; Performance Standard 5, paragraphs 5 and 25–29; Performance Standard 7, paragraphs 13–17 and 20; and Performance Standard 8, paragraph 11.

<sup>20</sup> A credible certification system would be one which is independent, cost-effective, based on objective and measurable performance standards and developed through consultation with relevant stakeholders, such as local people and communities, Indigenous Peoples, and civil society organizations representing consumer, producer and conservation interests. Such a system has fair, transparent and independent decision-making procedures that avoid conflicts of interest.

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- Commit to applying good international industry operating principles, management practices, and technologies; and
- Actively engage and support the development of a national standard, where relevant, including studies that contribute to the definition and demonstration of sustainable practices.

#### Supply Chain

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30. Where a client is purchasing primary production (especially but not exclusively food and fiber commodities) that is known to be produced in regions where there is a risk of significant conversion of natural and/or critical habitats, systems and verification practices will be adopted as part of the client's ESMS to evaluate its primary suppliers.<sup>21</sup> The systems and verification practices will (i) identify where the supply is coming from and the habitat type of this area; (ii) provide for an ongoing review of the client's primary supply chains; (iii) limit procurement to those suppliers that can demonstrate that they are not contributing to significant conversion of natural and/or critical habitats (this may be demonstrated by delivery of certified product, or progress towards verification or certification under a credible scheme in certain commodities and/or locations); and (iv) where possible, require actions to shift the client's primary supply chain over time to suppliers that can demonstrate that they are not significantly adversely impacting these areas. The ability of the client to fully address these risks will depend upon the client's level of management control or influence over its primary suppliers.

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<sup>21</sup> Primary suppliers are those suppliers who, on an ongoing basis, provide the majority of living natural resources, goods, and materials essential for the core business processes of the project.

### Introduction

1. Performance Standard 7 recognizes that Indigenous Peoples, as social groups with identities that are distinct from mainstream groups in national societies, are often among the most marginalized and vulnerable segments of the population. In many cases, their economic, social, and legal status limits their capacity to defend their rights to, and interests in, lands and natural and cultural resources, and may restrict their ability to participate in and benefit from development. Indigenous Peoples are particularly vulnerable if their lands and resources are transformed, encroached upon, or significantly degraded. Their languages, cultures, religions, spiritual beliefs, and institutions may also come under threat. As a consequence, Indigenous Peoples may be more vulnerable to the adverse impacts associated with project development than non-indigenous communities. This vulnerability may include loss of identity, culture, and natural resource-based livelihoods, as well as exposure to impoverishment and diseases.

2. Private sector projects can create opportunities for Indigenous Peoples to participate in, and benefit from project-related activities that may help them fulfill their aspiration for economic and social development. Furthermore, Indigenous Peoples may play a role in sustainable development by promoting and managing activities and enterprises as partners in development. Government often plays a central role in the management of Indigenous Peoples' issues, and clients should collaborate with the responsible authorities in managing the risks and impacts of their activities.<sup>1</sup>

### Objectives

- To ensure that the development process fosters full respect for the human rights, dignity, aspirations, culture, and natural resource-based livelihoods of Indigenous Peoples.
- To anticipate and avoid adverse impacts of projects on communities of Indigenous Peoples, or when avoidance is not possible, to minimize and/or compensate for such impacts.
- To promote sustainable development benefits and opportunities for Indigenous Peoples in a culturally appropriate manner.
- To establish and maintain an ongoing relationship based on Informed Consultation and Participation (ICP) with the Indigenous Peoples affected by a project throughout the project's life-cycle.
- To ensure the Free, Prior, and Informed Consent (FPIC) of the Affected Communities of Indigenous Peoples when the circumstances described in this Performance Standard are present.
- To respect and preserve the culture, knowledge, and practices of Indigenous Peoples.

### Scope of Application

3. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System, the elements of which are outlined in Performance Standard 1.

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<sup>1</sup> In addition to meeting the requirements under this Performance Standard, clients must comply with applicable national law, including those laws implementing host country obligations under international law.

## Performance Standard 7 Indigenous Peoples

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4. There is no universally accepted definition of “Indigenous Peoples.” Indigenous Peoples may be referred to in different countries by such terms as “Indigenous ethnic minorities,” “aboriginals,” “hill tribes,” “minority nationalities,” “scheduled tribes,” “first nations,” or “tribal groups.”
5. In this Performance Standard, the term “Indigenous Peoples” is used in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:
  - Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
  - Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
  - Customary cultural, economic, social, or political institutions that are separate from those of the mainstream society or culture; or
  - A distinct language or dialect, often different from the official language or languages of the country or region in which they reside.
6. This Performance Standard applies to communities or groups of Indigenous Peoples who maintain a collective attachment, i.e., whose identity as a group or community is linked, to distinct habitats or ancestral territories and the natural resources therein. It may also apply to communities or groups that have lost collective attachment to distinct habitats or ancestral territories in the project area, occurring within the concerned group members’ lifetime, because of forced severance, conflict, government resettlement programs, dispossession of their lands, natural disasters, or incorporation of such territories into an urban area.
7. The client may be required to seek inputs from competent professionals to ascertain whether a particular group is considered as Indigenous Peoples for the purpose of this Performance Standard.

### Requirements

#### General

##### *Avoidance of Adverse Impacts*

8. The client will identify, through an environmental and social risks and impacts assessment process, all communities of Indigenous Peoples within the project area of influence who may be affected by the project, as well as the nature and degree of the expected direct and indirect economic, social, cultural (including cultural heritage<sup>2</sup>), and environmental impacts on them.
9. Adverse impacts on Affected Communities of Indigenous Peoples should be avoided where possible. Where alternatives have been explored and adverse impacts are unavoidable, the client will minimize, restore, and/or compensate for these impacts in a culturally appropriate manner commensurate with the nature and scale of such impacts and the vulnerability of the Affected Communities of Indigenous Peoples. The client’s proposed actions will be developed with the ICP of the Affected Communities of Indigenous Peoples and contained in a time-bound plan, such as an Indigenous Peoples Plan, or a broader community development plan with separate components for Indigenous Peoples.<sup>3</sup>

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<sup>2</sup> Additional requirements on protection of cultural heritage are set out in Performance Standard 8.

<sup>3</sup> The determination of the appropriate plan may require the input of competent professionals. A community development plan may be appropriate in circumstances where Indigenous Peoples are a part of larger Affected Communities.

### Participation and Consent

10. The client will undertake an engagement process with the Affected Communities of Indigenous Peoples as required in Performance Standard 1. This engagement process includes stakeholder analysis and engagement planning, disclosure of information, consultation, and participation, in a culturally appropriate manner. In addition, this process will:

- Involve Indigenous Peoples' representative bodies and organizations (e.g., councils of elders or village councils), as well as members of the Affected Communities of Indigenous Peoples; and
- Provide sufficient time for Indigenous Peoples' decision-making processes.<sup>4</sup>

11. Affected Communities of Indigenous Peoples may be particularly vulnerable to the loss of, alienation from or exploitation of their land and access to natural and cultural resources.<sup>5</sup> In recognition of this vulnerability, in addition to the General Requirements of this Performance Standard, the client will obtain the FPIC of the Affected Communities of Indigenous Peoples in the circumstances described in paragraphs 13–17 of this Performance Standard. FPIC applies to project design, implementation, and expected outcomes related to impacts affecting the communities of Indigenous Peoples. When any of these circumstances apply, the client will engage external experts to assist in the identification of the project risks and impacts.

12. There is no universally accepted definition of FPIC. For the purposes of Performance Standards 1, 7 and 8, "FPIC" has the meaning described in this paragraph. FPIC builds on and expands the process of ICP described in Performance Standard 1 and will be established through good faith negotiation between the client and the Affected Communities of Indigenous Peoples. The client will document: (i) the mutually accepted process between the client and Affected Communities of Indigenous Peoples, and (ii) evidence of agreement between the parties as the outcome of the negotiations. FPIC does not necessarily require unanimity and may be achieved even when individuals or groups within the community explicitly disagree.

### **Circumstances Requiring Free, Prior, and Informed Consent**

#### Impacts on Lands and Natural Resources Subject to Traditional Ownership or Under Customary Use

13. Indigenous Peoples are often closely tied to their lands and related natural resources.<sup>6</sup> Frequently, these lands are traditionally owned or under customary use.<sup>7</sup> While Indigenous Peoples may not possess legal title to these lands as defined by national law, their use of these lands, including seasonal or cyclical use, for their livelihoods, or cultural, ceremonial, and spiritual purposes that define their identity and community, can often be substantiated and documented.

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<sup>4</sup> Internal decision making processes are generally but not always collective in nature. There may be internal dissent, and decisions may be challenged by some in the community. The consultation process should be sensitive to such dynamics and allow sufficient time for internal decision making processes to reach conclusions that are considered legitimate by the majority of the concerned participants.

<sup>5</sup> Natural resources and natural areas with cultural value referred to in this Performance Standard are equivalent to ecosystem provisioning and cultural services as described in Performance Standard 6.

<sup>6</sup> Examples include marine and aquatic resources timber, and non-timber forest products, medicinal plants, hunting and gathering grounds, and grazing and cropping areas. Natural resource assets, as referred to in this Performance Standard, are equivalent to provisioning ecosystem services as described in Performance Standard 6.

<sup>7</sup> The acquisition and/or leasing of lands with legal title is addressed in Performance Standard 5: Land Acquisition and Involuntary Resettlement.

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14. If the client proposes to locate a project on, or commercially develop natural resources on lands traditionally owned by, or under the customary use of, Indigenous Peoples, and adverse impacts<sup>8</sup> can be expected, the client will take the following steps:

- Document efforts to avoid and otherwise minimize the area of land proposed for the project;
- Document efforts to avoid and otherwise minimize impacts on natural resources and natural areas of importance<sup>9</sup> to Indigenous People;
- Identify and review all property interests and traditional resource uses prior to purchasing or leasing land;
- Assess and document the Affected Communities of Indigenous Peoples' resource use without prejudicing any Indigenous Peoples' land claim.<sup>10</sup> The assessment of land and natural resource use should be gender inclusive and specifically consider women's role in the management and use of these resources;
- Ensure that Affected Communities of Indigenous Peoples are informed of their land rights under national law, including any national law recognizing customary use rights; and
- Offer Affected Communities of Indigenous Peoples compensation and due process in the case of commercial development of their land and natural resources, together with culturally appropriate sustainable development opportunities, including:
  - Providing land-based compensation or compensation-in-kind in lieu of cash compensation where feasible.<sup>11</sup>
  - Ensuring continued access to natural resources, identifying the equivalent replacement resources, or, as a last option, providing compensation and identifying alternative livelihoods if project development results in the loss of access to and the loss of natural resources independent of project land acquisition.
  - Ensuring fair and equitable sharing of benefits associated with project usage of the resources where the client intends to utilize natural resources that are central to the identity and livelihood of Affected Communities of Indigenous People and their usage thereof exacerbates livelihood risk.
  - Providing Affected Communities of Indigenous Peoples with access, usage, and transit on land it is developing subject to overriding health, safety, and security considerations.

### Relocation of Indigenous Peoples from Lands and Natural Resources Subject to Traditional Ownership or Under Customary Use

15. The client will consider feasible alternative project designs to avoid the relocation of Indigenous Peoples from communally held<sup>12</sup> lands and natural resources subject to traditional ownership or

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<sup>8</sup> Such adverse impacts may include impacts from loss of access to assets or resources or restrictions on land use resulting from project activities.

<sup>9</sup> "Natural resources and natural areas of importance" as referred to in this Performance Standard are equivalent to priority ecosystem services as defined in Performance Standard 6. They refer to those services over which the client has direct management control or significant influence, and those services most likely to be sources of risk in terms of impacts on Affected Communities of Indigenous Peoples.

<sup>10</sup> While this Performance Standard requires substantiation and documentation of the use of such land, clients should also be aware that the land may already be under alternative use, as designated by the host government.

<sup>11</sup> If circumstances prevent the client from offering suitable replacement land, the client must provide verification that such is the case. Under such circumstances, the client will provide non land-based income-earning opportunities over and above cash compensation to the Affected Communities of Indigenous Peoples.

under customary use. If such relocation is unavoidable the client will not proceed with the project unless FPIC has been obtained as described above. Any relocation of Indigenous Peoples will be consistent with the requirements of Performance Standard 5. Where feasible, the relocated Indigenous Peoples should be able to return to their traditional or customary lands, should the cause of their relocation cease to exist.

### Critical Cultural Heritage

16. Where a project may significantly impact on critical cultural heritage<sup>13</sup> that is essential to the identity and/or cultural, ceremonial, or spiritual aspects of Indigenous Peoples lives, priority will be given to the avoidance of such impacts. Where significant project impacts on critical cultural heritage are unavoidable, the client will obtain the FPIC of the Affected Communities of Indigenous Peoples.

17. Where a project proposes to use the cultural heritage including knowledge, innovations, or practices of Indigenous Peoples for commercial purposes, the client will inform the Affected Communities of Indigenous Peoples of (i) their rights under national law; (ii) the scope and nature of the proposed commercial development; (iii) the potential consequences of such development; and (iv) obtain their FPIC. The client will also ensure fair and equitable sharing of benefits from commercialization of such knowledge, innovation, or practice, consistent with the customs and traditions of the Indigenous Peoples.

### **Mitigation and Development Benefits**

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18. The client and the Affected Communities of Indigenous Peoples will identify mitigation measures in alignment with the mitigation hierarchy described in Performance Standard 1 as well as opportunities for culturally appropriate and sustainable development benefits. The client will ensure the timely and equitable delivery of agreed measures to the Affected Communities of Indigenous Peoples.

19. The determination, delivery, and distribution of compensation and other benefit sharing measures to the Affected Communities of Indigenous Peoples will take account of the laws, institutions, and customs of these communities as well as their level of interaction with mainstream society. Eligibility for compensation can either be individually or collectively-based, or be a combination of both.<sup>14</sup> Where compensation occurs on a collective basis, mechanisms that promote the effective delivery and distribution of compensation to all eligible members of the group will be defined and implemented.

20. Various factors including, but not limited to, the nature of the project, the project context and the vulnerability of the Affected Communities of Indigenous Peoples will determine how these communities should benefit from the project. Identified opportunities should aim to address the goals

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<sup>12</sup> Typically, Indigenous Peoples claim rights and access to, and use of land and resources through traditional or customary systems, many of which entail communal property rights. These traditional claims to land and resources may not be recognized under national laws. Where members of the Affected Communities of Indigenous Peoples individually hold legal title, or where the relevant national law recognizes customary rights for individuals, the requirements of Performance Standard 5 will apply, rather than the requirements under paragraph 17 of this Performance Standard.

<sup>13</sup> Includes natural areas with cultural and/or spiritual value such as sacred groves, sacred bodies of water and waterways, sacred trees, and sacred rocks. Natural areas with cultural value are equivalent to priority ecosystem cultural services as defined in Performance Standard 6.

<sup>14</sup> Where control of resources, assets and decision making are predominantly collective in nature, efforts will be made to ensure that, where possible, benefits and compensation are collective, and take account of intergenerational differences and needs.



and preferences of the Indigenous Peoples including improving their standard of living and livelihoods in a culturally appropriate manner, and to foster the long-term sustainability of the natural resources on which they depend.

### **Private Sector Responsibilities Where Government is Responsible for Managing Indigenous Peoples Issues**

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21. Where the government has a defined role in the management of Indigenous Peoples issues in relation to the project, the client will collaborate with the responsible government agency, to the extent feasible and permitted by the agency, to achieve outcomes that are consistent with the objectives of this Performance Standard. In addition, where government capacity is limited, the client will play an active role during planning, implementation, and monitoring of activities to the extent permitted by the agency.

22. The client will prepare a plan that, together with the documents prepared by the responsible government agency, will address the relevant requirements of this Performance Standard. The client may need to include (i) the plan, implementation, and documentation of the process of ICP and engagement and FPIC where relevant; (ii) a description of the government-provided entitlements of affected Indigenous Peoples; (iii) the measures proposed to bridge any gaps between such entitlements, and the requirements of this Performance Standard; and (iv) the financial and implementation responsibilities of the government agency and/or the client.

### Introduction

1. Performance Standard 8 recognizes the importance of cultural heritage for current and future generations. Consistent with the Convention Concerning the Protection of the World Cultural and Natural Heritage, this Performance Standard aims to ensure that clients protect cultural heritage in the course of their project activities. In addition, the requirements of this Performance Standard on a project's use of cultural heritage are based in part on standards set by the Convention on Biological Diversity.

### Objectives

- To protect cultural heritage from the adverse impacts of project activities and support its preservation.
- To promote the equitable sharing of benefits from the use of cultural heritage.

### Scope of Application

2. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System (ESMS), the elements of which are outlined in Performance Standard 1. During the project life-cycle, the client will consider potential project impacts to cultural heritage and will apply the provisions of this Performance Standard.

3. For the purposes of this Performance Standard, cultural heritage refers to (i) tangible forms of cultural heritage, such as tangible moveable or immovable objects, property, sites, structures, or groups of structures, having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, rocks, lakes, and waterfalls; and (iii) certain instances of intangible forms of culture that are proposed to be used for commercial purposes, such as cultural knowledge, innovations, and practices of communities embodying traditional lifestyles.

4. Requirements with respect to tangible forms of cultural heritage are contained in paragraphs 6–16. For requirements with respect to specific instances of intangible forms of cultural heritage described in paragraph 3 (iii) see paragraph 16.

5. The requirements of this Performance Standard apply to cultural heritage regardless of whether or not it has been legally protected or previously disturbed. The requirements of this Performance Standard do not apply to cultural heritage of Indigenous Peoples; Performance Standard 7 describes those requirements.

### Requirements

#### Protection of Cultural Heritage in Project Design and Execution

6. In addition to complying with applicable law on the protection of cultural heritage, including national law implementing the host country's obligations under the Convention Concerning the Protection of the World Cultural and Natural Heritage, the client will identify and protect cultural heritage by ensuring that internationally recognized practices for the protection, field-based study, and documentation of cultural heritage are implemented.

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7. Where the risk and identification process determines that there is a chance of impacts to cultural heritage, the client will retain competent professionals to assist in the identification and protection of cultural heritage. The removal of nonreplicable cultural heritage is subject to the additional requirements of paragraph 10 below. In the case of critical cultural heritage, the requirements of paragraphs 13–15 will apply.

### Chance Find Procedures

8. The client is responsible for siting and designing a project to avoid significant adverse impacts to cultural heritage. The environmental and social risks and impacts identification process should determine whether the proposed location of a project is in areas where cultural heritage is expected to be found, either during construction or operations. In such cases, as part of the client's ESMS, the client will develop provisions for managing chance finds<sup>1</sup> through a chance find procedure<sup>2</sup> which will be applied in the event that cultural heritage is subsequently discovered. The client will not disturb any chance find further until an assessment by competent professionals is made and actions consistent with the requirements of this Performance Standard are identified.

### Consultation

9. Where a project may affect cultural heritage, the client will consult with Affected Communities within the host country who use, or have used within living memory, the cultural heritage for long-standing cultural purposes. The client will consult with the Affected Communities to identify cultural heritage of importance, and to incorporate into the client's decision-making process the views of the Affected Communities on such cultural heritage. Consultation will also involve the relevant national or local regulatory agencies that are entrusted with the protection of cultural heritage.

### Community Access

10. Where the client's project site contains cultural heritage or prevents access to previously accessible cultural heritage sites being used by, or that have been used by, Affected Communities within living memory for long-standing cultural purposes, the client will, based on consultations under paragraph 9, allow continued access to the cultural site or will provide an alternative access route, subject to overriding health, safety, and security considerations.

### Removal of Replicable Cultural Heritage

11. Where the client has encountered tangible cultural heritage that is replicable<sup>3</sup> and not critical, the client will apply mitigation measures that favor avoidance. Where avoidance is not feasible, the client will apply a mitigation hierarchy as follows:

- Minimize adverse impacts and implement restoration measures, in situ, that ensure maintenance of the value and functionality of the cultural heritage, including maintaining or restoring any ecosystem processes<sup>4</sup> needed to support it;
- Where restoration in situ is not possible, restore the functionality of the cultural heritage, in a different location, including the ecosystem processes needed to support it;

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<sup>1</sup> Tangible cultural heritage encountered unexpectedly during project construction or operation.

<sup>2</sup> A chance find procedure is a project-specific procedure that outlines the actions to be taken if previously unknown cultural heritage is encountered.

<sup>3</sup> Replicable cultural heritage is defined as tangible forms of cultural heritage that can themselves be moved to another location or that can be replaced by a similar structure or natural features to which the cultural values can be transferred by appropriate measures. Archeological or historical sites may be considered replicable where the particular eras and cultural values they represent are well represented by other sites and/or structures.

<sup>4</sup> Consistent with requirements in Performance Standard 6 related to ecosystem services and conservation of biodiversity.

## Performance Standard 8 Cultural Heritage

January 1, 2012

- The permanent removal of historical and archeological artifacts and structures is carried out according to the principles of paragraphs 6 and 7 above; and
- Only where minimization of adverse impacts and restoration to ensure maintenance of the value and functionality of the cultural heritage are demonstrably not feasible, and where the Affected Communities are using the tangible cultural heritage for long-standing cultural purposes, compensate for loss of that tangible cultural heritage.

### Removal of Non-Replicable Cultural Heritage

12. Most cultural heritage is best protected by preservation in its place, since removal is likely to result in irreparable damage or destruction of the cultural heritage. The client will not remove any nonreplicable cultural heritage,<sup>5</sup> unless all of the following conditions are met:

- There are no technically or financially feasible alternatives to removal;
- The overall benefits of the project conclusively outweigh the anticipated cultural heritage loss from removal; and
- Any removal of cultural heritage is conducted using the best available technique.

### Critical Cultural Heritage

13. Critical cultural heritage consists of one or both of the following types of cultural heritage: (i) the internationally recognized heritage of communities who use, or have used within living memory the cultural heritage for long-standing cultural purposes; or (ii) legally protected cultural heritage areas, including those proposed by host governments for such designation.

14. The client should not remove, significantly alter, or damage critical cultural heritage. In exceptional circumstances when impacts on critical cultural heritage are unavoidable, the client will use a process of Informed Consultation and Participation (ICP) of the Affected Communities as described in Performance Standard 1 and which uses a good faith negotiation process that results in a documented outcome. The client will retain external experts to assist in the assessment and protection of critical cultural heritage.

15. Legally protected cultural heritage areas<sup>6</sup> are important for the protection and conservation of cultural heritage, and additional measures are needed for any projects that would be permitted under the applicable national law in these areas. In circumstances where a proposed project is located within a legally protected area or a legally defined buffer zone, the client, in addition to the requirements for critical cultural heritage cited in paragraph 14 above, will meet the following requirements:

- Comply with defined national or local cultural heritage regulations or the protected area management plans;
- Consult the protected area sponsors and managers, local communities and other key stakeholders on the proposed project; and
- Implement additional programs, as appropriate, to promote and enhance the conservation aims of the protected area.

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<sup>5</sup> Nonreplicable cultural heritage may relate to the social, economic, cultural, environmental, and climatic conditions of past peoples, their evolving ecologies, adaptive strategies, and early forms of environmental management, where the (i) cultural heritage is unique or relatively unique for the period it represents, or (ii) cultural heritage is unique or relatively unique in linking several periods in the same site.

<sup>6</sup> Examples include world heritage sites and nationally protected areas.

### Project's Use of Cultural Heritage

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16. Where a project proposes to use the cultural heritage, including knowledge, innovations, or practices of local communities for commercial purposes,<sup>7</sup> the client will inform these communities of (i) their rights under national law; (ii) the scope and nature of the proposed commercial development; and (iii) the potential consequences of such development. The client will not proceed with such commercialization unless it (i) enters into a process of ICP as described in Performance Standard 1 and which uses a good faith negotiation process that results in a documented outcome and (ii) provides for fair and equitable sharing of benefits from commercialization of such knowledge, innovation, or practice, consistent with their customs and traditions.

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<sup>7</sup> Examples include, but are not limited to, commercialization of traditional medicinal knowledge or other sacred or traditional technique for processing plants, fibers, or metals.



## **Appendix 2**

### **Expertise of EAP and Project Team**





### Personal Details

**Surname** : Broughton  
**Names** : Elena  
**Date of Birth** : 11 September 1980  
**Nationality** : Russian  
**Residency** : RSA Permanent Resident  
**Profession** : Senior Development Economist



### Key Qualifications

**Elena Broughton** completed her BCom (Hon) in Economics in Russia, at Nizhny Novgorod State University in 2002 specialising in regional economics. At the same time, she completed an additional degree as Translator/Interpreter in Professional Orientated Communication. After completion of her Honours degree in Economics, Elena has moved to the USA and stayed there for 1.5 years. During her stay in the USA, she completed a number of Accounting and Business courses at Parkland College, Illinois. In 2007, she obtained her BSc (Hon) in Technology Management (Cum Laude) at the University of Pretoria and later received her MSc in Technology Management (2011) from the same university.

Elena Broughton is a senior professional at Urban-Econ and has an extensive knowledge in various fields of economic development, including impact assessments, investment strategy formulation, strategic decision analysis, and monitoring and evaluation. She is experienced in developing input-output and SAM-based models, as well as development and application of other econometric techniques. Elena has a special interest in project evaluation and decision-making framework, with the later being the focus of her Master's dissertation. Over the past few years, she was able to extend her experience in these fields working on projects for both government and the private sector.

### Academic Qualifications

Institution (Date from – Date to)	Degree(s) or Diploma(s) obtained:
2008-2011	MSc in Technology Management
2006 - 2007	BSc (Hon) in Technology Management
2004, Parkland College, USA	Computer Integrated Accounting
2004, Parkland College, USA	Independent Business
2003, Parkland College, USA	Intermediate Accounting
2003, Parkland College, USA	Records Management
2003, Parklands College, USA	Financial Accounting
2003, Parklands College, USA	Managerial Accounting
2002, Nizhny Novgorod University, Russia	BCom (Hon) in Economics



## Language Proficiency

	Reading	Writing	Speaking
Russian	Excellent	Excellent	Excellent
English	Excellent	Excellent	Excellent

## Employment Record

2004: Urban-Econ: Development Economist

## Projects Undertaken

- **Go to Market Strategy for a PV Panel Manufacturer:** Urban-Econ Development Economists together with EScience Associates and Tracy Stewart Consulting was appointed by the CEF to undertake a Go-to-Market Strategy for a PV panel manufacturing facility. The project comprised of two major parts. The first components included the analysis of the market and opportunities presented in the market, as well as identification of the needs, affordability levels, and requirements by all groups of stakeholders comprising the industry's value chain. The second part of the study included the formulation of the strategic plan that outlined various target markets to be pursued, value proposition to be offered, market channels to be considered for entering the market, and activities to be implemented during the product pre-launch, launch and post-launch phases.
- **SunCorp Socio-Economic and Enterprise Development Plan formulation:** Urban-Econ Development Economists was appointed by SunCorp to develop a Socio-Economic Development and Enterprise Development Plans for a solar PV project in the Free State. The plans were devised in line with the DOE requirements outlined for the bidding phase.
- **Savanna Cookware Manufacturing Facility Pre-Feasibility Study: Urban-Econ Development Economists** undertook a pre-feasibility study for a manufacturing facility planned to produce luxurious stainless steel cookware in South Africa. The pre-feasibility study focused on determining the need and desirability for the proposed manufacturing facility considering the defined primary and secondary markets; the key prerequisites for the viability of the proposed venture and the most optimal location for the proposed manufacturing facility.
- **An opportunity cost assessment for the proposed Labonte 5 mining project:** The purpose of the study was to investigate the opportunity cost of the proposed sand mining project to determine the implications on the local economy dynamics and the impact on the major infrastructure projects implemented in the Lephalale area if the proposed project is not approved.
- **Saldanha Bay Separation Plant Economic Impact Assessment:** The project involved undertaking an economic impact assessment study for the proposed construction and operation of a Rare Earth Elements (REE) Separation Plant on Portion 6 of the Farm Langeberg 188 in Saldanha, in the Western Cape Province. The study formed part of the Environmental Impact Assessment process as prescribed in the National Environmental Management Act (NEMA) of 1998 and its subsequent amendments.
- **Zandkopsdrift Rare Earth Elements (REE) Project Economic Impact Assessment:** The project involved undertaking an socio-economic impact assessment study for the proposed the Zandkopsdrift Rare Earth Elements (REEs) Project near Garies in the Northern Cape Province of South Africa. The study formed part of the Environmental Impact Assessment process as

prescribed in the National Environmental Management Act (NEMA) of 1998 and its subsequent amendments.

- **Balmoral EIA:** The study involved undertaking a socio-economic impact assessment as an input into a Basic Impact Assessment Study for the proposed Balmoral X5 Township Development in the Ekurhuleni Metropolitan Municipality (EMM).
- **Green Building Market Entry Study:** The Embassy of the Kingdom of the Netherlands in Pretoria appointed Urban-Econ Development Economists to undertake a market entry study for the Green Building industry of South Africa. The document was compiled for the purpose of guiding the existing or prospective Dutch companies in expanding or involving themselves in the South African Green Building industry. The report contained information on the policy and regulatory environment that drives the development of this sector in the country and the broad overview of the status of the construction industry with the focus on the green building industry. The document also encompassed information on the state of development and industry maturity of selected green building sub-sectors that are aligned with the expertise of the Dutch companies. Information on doing business in South Africa as far as procurement and tendering practices, business funding and other support offered by South Africa and Netherlands was also provided.
- **Royal Bafokeng Mining Procurement Study:** The study business opportunities that can be established in the area leading to the localisation of mining inputs. It was based on a comprehensive assessment of the selected mine's contract-based procurement practices.
- **Ventersburg Business Development Concept:** The study focused on the identification of business development opportunities that could be pursued in the town of Ventersburg based on the traffic derived in the area from the N1 highway and other regional roads. The study involved a comprehensive assessment of the target markets induced by traffic, economic base of the area, current business offerings and derived opportunities. It concluded with a presentation of business development concept scenarios and associated socio-economic benefits.
- **Northern Cape Renewable Energy Strategy:** Urban-Econ Development Economists with a support from EScience Associates and Centre for Renewable and Sustainable Energy Studies (CRSES) was appointed to develop a renewable energy strategy for the Northern Cape. The objective of the study was to undertake a situational assessment of the Northern Cape economy to identify the opportunities and constraints with respect to renewable energy development, and accordingly to formulate a plan to unlock the existing potential of the province to harness renewable energy to the benefit of its communities and economy and to position the province to attract a maximum share of investment under the IRP2010 Renewable Energy Target and beyond.
- **The localisation potential of Photovoltaics and a strategy to support large scale roll-out in South Africa:** A consortium comprising of EScience Associates, Urban-Econ Development Economists and Chris Ahlfeldt (the project team was appointed to undertake the study on the localisation potential of solar PV. The specific objectives of the study included profiling of the industry, analysis of the PV industry value chain, and development of the strategy for the future roll-out of the industry in the country.
- **Feasibility study into establishing CSP component manufacturing facilities in South Africa:** The Industrial Development Corporation (the IDC) has commissioned Urban-Econ Development Economists supported by EScience Associates to undertake a feasibility study to determine the viability of the establishment of a manufacturing facility of CSP modules and components in South Africa.
- **Eskom CSP Macro-Economic Impact Assessment:** Eskom CSP (Solar 1) Macroeconomic Impact Assessment: The study involved the identification of potential localisation opportunities for various components of the project and modelling of the socio-economic impacts.



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- **Proposed Exxaro IPP Coal-Powered Power Station near Lephalale, Limpopo Scoping Inputs:** Urban-Econ Development Economists was appointed to undertake a Socio-Economic Scoping Study and Land Use Impact Study for the proposed Exxaro coal-powered power station near the town of Lephalale, in the Limpopo province.
  - **Mafube Nooitgedacht and Wildfontein EIA/EMP Sustainable Development Investigation Study:** Urban-Econ Development Economist was appointed to undertake an investigation into sustainable development options associated with the proposed project. The results of this study aimed at informing the decision makers of socio-economic trade-offs related to each option analysed and the most preferred alternative.
  - **Thaba Metsi Sustainable Development Investigation Study:** The objective of the Thabametsi Project is to mine coal via opencast and underground mining methods for supply to the Independent Power Producer (IPP) coal-fired power station, to be developed by Exxaro north of the proposed Thabametsi project. Urban-Econ Development Economists provided a specialist input into the sustainable development Investigation that aimed to quantify and assess various options associated with the development and post-mining land uses that formed part of an input into the EIA report.
  - **Eskom Sere Wind (WEF1) Macro-Economic Impact Assessment:** The project entailed the strategic assessment of the proposed facility on the macroeconomic situation with respect to the impact on the balance of payments, supply of energy, demand for water, and achievement of strategic government objectives. It also entailed the assessment of the proposed project on the regional and local economies.
  - **Socio-Economic and Economic Impact Assessment Studies for Renewable Energy Projects** conducted as part of the Environmental Impact Assessment Processes
    - Arriesfontein Solar Energy Park near Danielskuil in the Northern Cape (100 MW CSP-Tower facility and 225 MW PV solar facility)
    - Humansrus Solar Energy Facility near Postmasburg in the Northern Cape (100 MW CSP-Tower facility)
    - Rooipunt Solar Energy Park near Upington in the Northern Cape (100 MW CSP-Tower facility and 215 MW PV solar facility)
    - Farm 198 PV Solar Energy Facility north of Kimberley in the Northern Cape (210 MW PV solar facility)
    - Wag'nbiokiespan PV Solar Energy Facility near Boshof, the Free State Province (75 MW PV solar facility)
  - **Energy-Related Proposals Evaluation for the Department of Science and Technology:** Urban-Econ Development Economists was appointed to undertake an evaluation of six energy-related proposals submitted to the DST SBS. The objective of the evaluation is to advise the Department on whether the projects described in the proposals should be funded or not. The assessment takes into account operational and financial feasibility of projects, alignment thereof with government objectives, economic benefits derived from the project, ability of the organisations to implement the projects successfully and a risk assessment. The project also involves the development of a decision framework on the basis of a Multi-Criteria Decision Method that will be used to compare proposals and determine the one that are not only suitable for funding but those that should be prioritised above others.
  - **Independent evaluation of the Wireless Mesh Network in Government Broadband:** Urban-Econ Development Economists was appointed to undertake an independent evaluation of the Community Wireless Mesh Networks in the Government Broadband project. Urban-Econ's responsibility is to evaluate the progress of the project to this date and provide recommendations that can be implemented to improve its design and execution.
  - **Department of Science and Technology Economic Analysis Model:** Urban-Econ was appointed by the Department of Science and Technology (DST) to assist them in developing a
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decision-making framework that would allow them to evaluate various proposals from an economic perspective and identify the ones that would create the largest economic benefits.

- **Eskom Ariadne-Eros Power Lines Economic and Agricultural Impact Assessment:** Urban-Econ was appointed to undertake an Agricultural Potential and Economic Impact Assessments for the proposed Ariadne-Eros transmission power line, and expansion and upgrade of the related substations in KwaZulu-Natal.
- **Eskom Ingula Pumped Storage Scheme Regional Economic Impact Assessment:** The purpose of the study was to present an assessment of socio-economic impact of the Ingula Pumped Storage Scheme on the national and regional economies.
- **Gauteng Infrastructure Renewal and Investment Plan (GIRIP):** the study involved the formulation of an infrastructure and renewal plan up until 2025 that would transform Gauteng into a competitive Global City-Region. As part of the study a regional model with necessary demographic and economic projects was developed that assisted in identifying future infrastructural needs in the Province.
- **De Hoop Dam Economic Impacts Monitoring Framework:** Urban-Econ was approached to develop and set up an integrated and coherent monitoring and evaluation reporting system which will primarily be based on a regional impact assessment model framework to monitor and evaluate the regional socio-economic impacts due to the development of the De Hoop dam
- **North West Cluster Performance Analyses:** Urban-Econ was appointed by the North West Office of the Premier to undertake the analyses of statistics tables for six clusters (Human Resource Development, Physical Assets, Resource Base, Governance and Protection, Economic, and Social), identify areas that require interventions, and proposes possible solutions to address the key challenges.
- **Mopani Investment Strategy:** Urban-Econ Development Economists was appointed by the Mopani District Municipality to formulate an investment strategy for the region with a focus of promoting integrated and sustainable development in the local economy.
- **Socio-Economic Impact Assessment Of The Proposed Route Operator Business In Mpumalanga:** The project entailed assisting with the preparation of the response to the Request for Applications in respect of Limited Payout Machine Licences in the Mpumalanga Province. The assistance requested encompassed a macro-level socio-economic analysis of the proposed route operator business in Mpumalanga with a focus on: (a) benefits to the economy in terms of gross geographical product (“GGP”), employment creation, increased household income, skills development, and small, medium, micro enterprise (“SMME”) development and (b) potential social impact of gaming in the Province.
- **N3 Highway Economic Impact Assessment:** Urban-Econ was appointed to determine the Socio-Economic Impact of the proposed re-routing of the N3 highway around Harrismith and the current link with the N5 Route towards Lesotho and Mangaung.
- **The Mandela Bay Precinct Economic Impact Assessment:** The study entailed conducting an economic impact assessment of the proposed Mandela Bay Precinct Development in Port Elizabeth. The proposed project was a mixed use development with the main component being a Regional Shopping Centre that will be surrounded by high density residential property, filling stations, light industrial space, a hospital, a hotel, and office space.

- **The City of Windhoek Draft SME Policy:** Urban-Econ was appointed by the City of Windhoek (COW) Local Authority to develop a Draft SME Development Policy Directive to guide future SME promotion and development in the City of Windhoek
  - **Harrismith Logistics Hub Impact Assessment:** Urban-Econ Development Economists was appointed to undertake a rapid economic impact assessment study of the proposed Harrismith Freight Logistics Hub (“HLH”). The aim of the study was to determine potential benefits that could be created by the HLH in terms of unlocking the latent development of the area. This technical memorandum presents the results of the study.
  - **Megamall Economic Impact Assessment:** Urban-Econ was requested to undertake an economic impact study for the Megamall project to be developed in the Mogale City Local Municipality. The aim of the study was to determine the potential economic impacts emanating from the proposed development. This study involved assessment of socio-economic impacts the proposed project could have on the local economy which could be used in application for funding from commercial banks and government.
  - **Coega Ridge Economic and Social Impact Assessments:** Urban-Econ was appointed to undertake economic and social impact assessment of the proposed Coega Ridge development. The aim of the development was to create a unique and sustainable residential enclave encompassing a “live, work, play, and shop” environment and comprising such components as affordable housing, shopping centre, office park, industrial park, community and social facilities, bulk service infrastructure, and public open space.
  - **Amanzi Economic and Social Impact Assessments:** Urban-Econ was requested to undertake an economic and social impact studies for the proposed Amanzi Estate that included the original homestead of Sir Percy Fitzpatrick, author of Jock of the Bushveld
  - **Limpopo Industrial Parks Resuscitation Assessment:** Urban-Econ was appointed to assess the feasibility of resuscitation of the selected industrial parks in the Limpopo Province. Study included analysis of the economic potential of the selected areas, development of scenarios and formulation of recommendations. Managed the team of sub-consultants.
  - **North West PGDS Monitor 2007:** the study encompasses a comprehensive analysis and projections of the achievement of the PGDS targets, reviewing the performance of the Working Groups, and providing recommendations regarding actions needed to be taken to address the shortfalls.
  - **Sedibelo Economic Impact Assessment:** The study involved conducting a economic impact assessment of the proposed development utilising an Input/Output model.
  - **Mooifontein Coal Mine Comparative Analysis, Mpumalanga:** Urban-Econ Development Economists were appointed to undertake a sustainable development investigation exercise that includes a comparative economic analysis between the status quo, i.e. farming, and an alternative land use, i.e. mining. The study made use of the economic modelling techniques to estimate the contribution of the current activities towards the country’s economy and the expected contribution of the proposed scenario. The impacts were calculated for a period of 100 years and compared to identify the most beneficial scenario from an economic perspective.
  - **Hanglip Sustainability Model:** Urban-Econ was appointed to develop a model that would have assisted the decision makers in identifying the most preferred alternative/s for the Hanglip Development. The model was based on the multi-criteria decision-making process.
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- **Emalahleni Investment Incentive Package:** Urban-Econ was appointed by the Emalahleni Local Municipality to update the Investment Incentive Package for the Emalahleni Local Municipality.
  - **Eastern Cape Industrial Sector Study:** Urban-Econ EC was appointed by the Eastern Cape Socio-Economic Consultative Council (ECSECC) to undertake an industrial sector study for the Eastern Cape Province. The study is envisioned to provide inputs to the Provincial Industrial Strategy that is currently being prepared. The focus of the strategy is on provision of support to the sectors with the potential for job creation in the Province. In this context, this study aims at identifying the sectors that have the highest potential for uplifting the second economy in the Province and highlighting their growth barriers.
  - **Socio-Economic Impact Assessment of the Proposed New Eskom Power Stations in the Witbank Geographical Area and Northern Free State:** The study involved conducting a socio-economic impact assessment of the proposed developments utilising an Input/Output model.
  - **Sedibeng Investment Incentive Package:** The study encompasses a formulation of an incentive package that would enhance development and investment in the area, as well as promote economic growth. A comprehensive socio-economic analysis of the Sedibeng DM and its Local Municipalities, including growth potential was performed.
  - **North West Sustainable Development Indicators Pilot Project:** After completing the North West Sustainable Development Indicators, Urban-Econ was appointed to execute of the pilot project of population the framework.
  - **North West Sustainable Development Indicators:** Urban-Econ Development Economists have been appointed by the North West Province's Office of the Premier to formulate a Sustainable Development Indicator Framework for the North West Provincial Administration. The purpose of the framework is to assist the provincial government authority in the monitoring and evaluation of their progress towards achieving sustainable growth and development.
  - **Polokwane Trade Hub:** Urban-Econ Development Economists, assisted by Nyeleti Consulting Engineering, were appointed by Polokwane Municipality to undertake a Polokwane Trade Hub feasibility study. The feasibility study included investigation of the potential of Polokwane to develop into a regional trade, implications associated with its development, and the initiatives, including programmes and projects, that need to be implemented to realise the vision of Polokwane as a regional trade hub.
  - **Mpumalanga Job Creation Budget:** The project involved an assessment of the provincial budget with respect to its impact on job creation and identification of opportunities to enhance sustainable job creation in the Province.
  - **Joburg BPO Zone:** Urban-Econ was appointed to provide an urban-economic rationale and motivation for the selection of a BPO Precinct in the Joburg Inner City.
  - **The North West Barometer 2006: Economic Module Update.** Urban-Econ Development Economists have been appointed by the North West Province's Office of the Premier to formulate a Sustainable Development Indicator Framework for the North West Provincial Administration. This report details the project roll-out plan and project progress to date.
  - **Bekkersdal Skills and Entrepreneurship Development Strategy.** The Bekkersdal Skills and Entrepreneurship Development Strategy provides the reader with thorough data on the existing pool of enterprises and entrepreneurs, services and products; and existing skills in
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Bekkersdal, which can be utilized by public and private entities. The document includes Skills Audit and Business Audit Databases in Access format.

- **Baralink economic and market study.** Urban-Econ: Development Economists have been appointed by Urban Dynamics to undertake an economic and market study of four areas, namely, Baralink, JP's Town, Orange Farm, and Kwadzudza; and provide the feedback on potential economic activates that can be introduced to the area in regard to promotion of sustainable livelihoods. This study forms a part of a more comprehensive analysis of the abovementioned areas, the purpose of which is to compile a strategy for sustainable housing development, according to the new housing policy, in different regions of Johannesburg Metropolitan area.
  - **Business Improvement District Strategy for Bekkersdal.** Due to the low levels of consumer and business confidence in the Bekkersdal CBD, this project required the formulation of a strategy for the establishment and implementation of a BID for the CBD area of Bekkersdal.
  - **Expansion of Holcim Cement Plant: Economic Impact Assessment.** Urban-Econ has been appointed to assess economic impact of the expansion of Holcim Cement plant in Roodepoort.
  - **Madiba Bay Leisure Park Regional Mall Market Study.** Urban-Econ: Development Economists were commissioned by East Cape Showcase (Ltd.) to conduct empirical market research and compile a specialist market study for the proposed regional retail mall within the North Gate precinct of the Madiba Bay Leisure Park project.
  - **Social and Labour Plan for Brandbach Mine, Cullinan.** Mining industry is a cornerstone of the South African economy. So far it has experienced rises and downfalls. In order to insure sustainable development of the industry in the future along with the implementation of national visions on skills development, poverty alleviation, BEE and employment creation, the government has introduced a Skills and Labour Plan, preparation of which became a prerequisite for every mine in the country. Urban-Econ's suster company, Econo-Mine, has been appointed to develop such plan for the Brandbach Mine in Cullinan.
  - **NIPS for POPS Economic Impact:** Urban-Econ has been appointed as part of a specialist team to undertake the economic impact assessment of Infrastructure related to Persistent Organic Pollutants (POPS) in South Africa. The focus of the assessment is to formulate clear strategic guidelines related to the impacts of POPS and or their removal/eradication for the Development of National Implementation Plans (NIPS) of the Stockholm Convention on POPS.
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**Wouter Fourie**  
**Professional Heritage Specialist and Director PGS Heritage**

**Summary of Experience**

Specialised expertise in Cultural Resource Management and Heritage Impact Assessment Management, Archaeology, Anthropology, Applicable survey methods, Fieldwork and project management, Geographic Information Systems, including *inter alia*:

Involvement with various Heritage Impact Assessments, within South Africa, including:

- Archaeological Walkdowns for various projects
- Phase 2 Heritage Impact Assessments and EMPs for various projects
- Heritage Impact Assessments for various projects

Iron Age Mitigation Work for various projects, including archaeological excavations and monitoring

Involvement with various Heritage Impact Assessments, outside South Africa, including:

- Heritage Impact Assessments in Democratic Republic of Congo
- Heritage Impact Assessments in Mozambique, Botswana and DRC
- Grave Relocation projects in DRC

Involvement in various grave relocation projects (some of which relocated up to 1000 graves) and grave “rescue” excavations in the various provinces of South Africa

**Key Qualifications**

BA [Hons] (Cum laude): Archaeology and Geography

BA: Archaeology, Geography and Anthropology

Professional Archaeologist - Association of Southern African Professional Archaeologists (ASAPA) - Professional Member

Accredited Professional Heritage Specialist – Association of Professional Heritage Practitioners (APHP)

CRM Accreditation (ASAPA):

- Principal Investigator - Grave Relocations
- Field Director – Iron Age
- Field Supervisor – Colonial Period and Stone Age

Accredited with Amafa KZN and Eastern Cape PHRA

**Key Work Experience**

2008- current: Director –Professional Grave Solutions (Pty) Ltd t/a PGS Heritage

2007 – 2008: Project Manager – Matakoma-ARM, Heritage Contracts Unit, University of the Witwatersrand

2005-2007: Director - Professional Grave Solutions (Pty) Ltd

2000-2004: CEO– Matakoma Consultants

1998-2000: Environmental Coordinator – Randfontein Estates Limited. Randfontein, Gauteng

1997-1998: Environmental Officer – Department of Minerals and Energy. Johannesburg, Gauteng

## CURRICULUM VITAE

Andrea Gibb

**Name** Andrea Gibb

**Profession** Environmental Practitioner

**Name of Firm** SiVEST SA (Pty) Ltd

**Present Appointment** Environmental Practitioner and  
Visual Specialist:  
Environmental Division

**Years with Firm** 6 Years

**Date of Birth** 29 January 1985

**ID Number** 8501290020089

**Nationality** South African



### Education

Matriculated 2003, Full Academic Colours, Northcliff High School, Johannesburg, South Africa

### Professional Qualifications

#### **BSc (Hons) Environmental Management** (University of South Africa 2008-2010)

Coursework: Project Management, Environmental Risk Assessment and Management, Ecological and Social Impact Assessment, Fundamentals of Environmental Science, Impact Mitigation and Management, Integrated Environmental Management Systems & Auditing, Integrated Environmental Management, Research Methodology.

Research Proposal: Golf Courses and the Environment

#### **BSc Landscape Architecture** (with distinction) (University of Pretoria 2004-2007)

Coursework: Core modules focused on; design, construction, environmental science, applied sustainability, shifts in world paradigms and ideologies, soil and plant science, environmental history, business law and project management.

Awards: Cave Klapwijk prize for highest average in all modules in the Landscape Architecture programme, ILASA book prize for the best Landscape Architecture student in third year design, Johan Barnard planting design prize for the highest distinction average in any module of plant science.

#### **ArcGIS Desktop 1** (ESRI South Africa December 2010)

#### **Environmental Impact Assessment (EIA) 2014 Legal Regime Workshop** (Imbewu 2015)

### Employment Record

Aug 2010 – to date SiVEST SA (Pty) Ltd: Environmental Practitioner

Jan 2008 – July 2010 Cave Klapwijk and Associates: Environmental Assistant and  
Landscape Architectural Technologist

Feb 2006 – Dec 2006 Cave Klapwijk and Associates: Part time student

### Language Proficiency

LANGUAGE	SPEAK	READ	WRITE
English	Fluent	Fluent	Fluent

## Key Experience

Specialising in the field of Environmental Management and Visual Assessment.

Andrea joined SiVEST in August 2010 and holds the position of Environmental Practitioner in the Johannesburg Office. She has 8.5 years' work experience and specialises in managing large scale multifaceted EIAs and Basic Assessment (BAs), primarily related to renewable energy generation and electrical distribution. She also specialises in undertaking visual impact and landscape assessments. She has extensive experience in overseeing public participation and stakeholder engagement processes and has been involved in environmental baseline assessments, fatal flaw / feasibility assessments and environmental negative mapping / sensitivity analyses. From a business and administrative side, Andrea is actively involved in maintaining good client relationships, mentoring junior staff and maintaining the financial performance of the projects she leads.

### Skills include:

- Project Management (MS Project)
- Environmental Impact Assessment (EIA)
- Basic Assessment (BA)
- Public Participation Management
- Visual Impact Assessment (VIA)
- Landscape Assessment
- Strategic Environmental Planning
- Documentation / Quality Control
- Project Level Financial Management

## Projects Experience

### Aug 2010 – to date

#### ENVIRONMENTAL IMPACT ASSESSMENT (EIA) / BASIC ASSESSMENT (BA)

- EIA for the proposed development of the Tlisitseng 1 and 2 75MW Solar Photovoltaic (PV) Energy Facilities near Lichtenburg, North West Province.
- EIAs for the proposed development of the Sendawo 1, 2, and 3 75MW Solar PV Energy Facilities near Vryburg, North West Province.
- EIA for the proposed construction of the Sendawo Common Collector Substation and power line near Vryburg, North West Province.
- EIA for the proposed construction of the Aletta 140MW Wind Energy Facility near Copperton, Northern Cape Province.
- Application for an Amendment of the Environmental Authorisation (EA) for the proposed construction of the 100MW Limestone Solar Thermal Power Project near Danielskuil, Northern Cape Province.
- Applications for the Amendment of the EAs for the proposed construction of three 75MW solar PV facilities near Prieska, Northern Cape Province.
- Applications for the Amendment of the EAs for the proposed construction of the 75MW Arriesfontein and Wilger Solar Power Plants near Danielskuil, Northern Cape Province.
- Completion and submission of the final EIA report for the proposed Rooipunt PV Solar Power Park Phase 1 and proposed Rooipunt PV Solar Power Park Phase 2 near Upington, Northern Cape Province.
- EIAs for the proposed construction of the Helena 1, 2 and 3 75MW Solar PV Energy Facilities near Copperton, Northern Cape Province.
- EIA for the proposed construction of the Nokukhanya 75MW Solar PV Power Plant near Dennilton, Limpopo Province.
- EIA for the proposed development of the Dwarsrug Wind Farm near Loeriesfontein, Northern Cape Province.

## CURRICULUM VITAE

Andrea Gibb

- BA for the proposed construction of two 132kV power lines and associated infrastructure from the Redstone Solar Thermal Power Project site to the Olien MTS near Lime Acres, Northern Cape Province.
- BA for the proposed construction of two 132kV power lines and associated infrastructure from Silverstreams DS to the Olien MTS near Lime Acres, Northern Cape Province.
- BA for the proposed Construction of the SSS1 5MW Solar PV Plant on the Western Part of Portion 6 (Portion of Portion 5) of Farm Spes Bona 2355 near Bloemfontein, Free State Province.
- BA for the proposed Construction of the SSS2 5MW Solar PV Plant on the Eastern Part of Portion 6 (Portion of Portion 5) of Farm Spes Bona 2355 near Bloemfontein, Free State Province.
- BA for the proposed Mookodi Integration Phase 2: Proposed Construction of a 132kV power line from the proposed Bophirima Substation to the existing Schweizer-Reneke Substation, North West Province.
- BA for the proposed Mookodi Integration Phase 2: Proposed Construction of a 132kV power line from the Mookodi Substation to the existing Magopela Substation, North West Province.
- BA for the proposed Mookodi Integration Phase 2: Proposed Construction of the Mookodi - Ganyesa 132kV power line, proposed Ganyesa Substation and Havelock LILO, North West Province.
- Amendment of the Final Environmental Impact Report for the Proposed Mookodi 1 Integration Project near Vryburg, North West Province.
- BA for the proposed 132kV power line and associated infrastructure for the proposed Redstone Solar Thermal Energy Plant near Lime Acres, Northern Cape Province.
- BA for the proposed construction of a 132kV power line and substation associated with the 75MW PV Plant on the Farm Droogfontein (PV 3) in Kimberley, Northern Cape Province.
- BA for the proposed establishment of a Learning and Development Retreat and an Executive Staff and Client Lodge at Mogale's Gate, Gauteng Province.
- Application for an Amendment of the EA to increase the output of the proposed 40MW PV Facility on the farm Mierdam to 75MW, Northern Cape Province.
- BA for the proposed construction of a power line and substation near Postmasburg, Northern Cape Province.
- BA for the proposed West Rand Strengthening Project – 400kV double circuit power line and substation extension in the West Rand, Gauteng.
- EIA for the proposed construction of a wind farm and PV plant near Prieska, Northern Cape Province.
- Public Participation assistance as part of the EIA for the proposed Thyspunt Transmission Lines Integration Project – EIA for the proposed construction of 5 x 400kV transmission power lines between Thyspunt to Port Elizabeth, Eastern Cape Province.
- EIA assistance for the proposed construction of three Solar Power Plants in the Northern Cape Province.
- Public Participation as part of the EIA for the proposed Delareyville Kopela Power Line and Substation, North West Province.
- Public Participation as part of the EIA for the Middelburg Water Reclamation Project, Mpumalanga Province.

### **VISUAL IMPACT ASSESSMENT (VIA)**

- VIA (Scoping Phase) for the proposed construction of a 3000MW Wind Farm and associated infrastructure near Richmond, Northern Cape Province.
- VIA for the proposed construction of a power line and associated infrastructure for the proposed Kalkaar Solar Thermal Power Plant near Kimberley, Free State and Northern Cape Provinces.
- VIA for the proposed construction of a power line and associated infrastructure for the proposed Rooipunt Solar Thermal Power Plant near Upington, Northern Cape Province.
- VIAs (Impact Phase) for the proposed construction of the Sendawo 1, 2 and 3 solar PV energy facilities near Vryburg, North West Province.

- VIA (Impact Phase) for the proposed construction of the Sendawo substation and associated power line near Vryburg, North West Province.
- VIAs (Impact Phase) for the proposed construction of the Tlisitseng 1 and 2 solar PV energy facilities near Lichtenburg, North West Province.
- VIA for the proposed construction of the Tlisitseng substation and associated 132kV power line near Lichtenburg, North West Province.
- VIA (Scoping Phase) for the proposed construction of the Sendawo substation and associated power line near Vryburg, North West Province.
- VIA (Scoping Phase) for the proposed construction of the Sendawo 1, 2 and 3 solar PV energy facilities near Vryburg, North West Province.
- VIA (Scoping Phase) for the proposed construction of the Tlisitseng 1 and 2 solar PV energy facilities near Lichtenburg, North West Province.
- Visual recommendations for Phase 1 of the proposed Renishaw Estate Mixed Use Development, KwaZulu-Natal Province.
- VIA for the proposed Tinley Manor South Banks Development, KwaZulu-Natal Province.
- VIAs (Impact Phase) for the proposed construction of the Helena 1, 2 and 3 75MW Solar PV Energy Facilities near Copperton, Northern Cape Province.
- VIA (Scoping Phase) for the proposed construction of the Helena 1, 2 and 3 75MW Solar PV Energy Facilities near Copperton, Northern Cape Province.
- Visual Due Diligence Report for the possible rapid rail extensions to the Gauteng network, Gauteng Province.
- Visual Status Quo and Constraints Report for the possible rapid rail extensions to the Gauteng network, Gauteng Province.
- VIA for the proposed agricultural components of the Integrated Sugar Project in Nsoko, Swaziland.
- VIA for the proposed Tweespruit to Welroux power lines and substation, Free State Province.
- VIA for the proposed construction of the Nokukhanya 75MW Solar PV Power Plant near Dennilton, Limpopo Province.
- VIA (Impact Phase) for the proposed development of the Dwarsrug Wind Farm near Loeriesfontein, Northern Cape Province.
- VIA for the proposed amendment to the authorised power line route from Hera Substation to Westgate Substation, Gauteng Province.
- VIA (Impact Phase) for the Eastside Junction Mixed Use Development near Delmas, Mpumalanga Province.
- VIA for the proposed construction of two 132kV power lines and associated infrastructure from the Redstone Solar Thermal Power Project site to the Olien MTS near Lime Acres, Northern Cape Province.
- VIA for the proposed construction of two 132kV power lines and associated infrastructure from Silverstreams DS to the Olien MTS near Lime Acres, Northern Cape Province.
- VIA (Scoping Phase) for the proposed development of the Dwarsrug Wind Farm near Loeriesfontein, Northern Cape Province.
- VIA for the proposed Rorqual Estate Development near Park Rynie on the South Coast of KwaZulu Natal.
- VIA (Scoping Phase) for the proposed construction of a Coal-fired Power Station, Coal Mine and Associated Infrastructure near Colenso, KwaZulu-Natal Province.
- VIA for the proposed Mookodi Integration Phase 2: Proposed Construction of the Mookodi - Ganyesa 132kV power line, proposed Ganyesa Substation and Havelock LILO, North West Province.
- VIA for the proposed construction of the Duma transmission substation and associated Eskom power lines, KwaZulu-Natal Province.
- VIA for the proposed construction of the Madlanzini transmission substation and associated Eskom power lines, Mpumalanga Province.
- VIA for the proposed rebuild of the 88kV power line from Normandie substation to Hlungwane substation, Mpumalanga and KwaZulu-Natal Provinces.
- VIA for the proposed construction of the Nzalo transmission substation and associated Eskom power lines, KwaZulu-Natal Province.

- VIA for the proposed construction of the Sheepmoor traction substation with two 20MVA transformer bays and a new associated 88kV turn-in power line, Mpumalanga Province.
- VIA for the proposed rebuild of the 88kV power line from Uitkoms substation to Antra T-off, Mpumalanga Province.
- VIA for the proposed rebuild of the 88kV power line from Umfolozi substation to Eqwasha traction substation including an 88kV turn-in power line to Dabula traction substation, Kwazulu-Natal Province.
- VIA for the proposed construction of the new 88/25kV Vryheid traction substation with two 20MVA transformer bays and a new associated 88kV turn-in power line, KwaZulu-Natal Province.
- VIA for the proposed construction of a 132kV power line and substation associated with the 75MW PV Plant on the Farm Droogfontein (PV 3) in Kimberley, Northern Cape Province.
- VIA (Impact Phase) for the proposed Construction of a Solar PV Power Plant near De Aar, Northern Cape Province.
- VIA for the (Impact Phase) proposed Construction of the Renosterberg Wind Farm near De Aar, Northern Cape Province.
- VIA for the (Impact Phase) proposed Construction of the Renosterberg Solar PV Power Plant near De Aar, Northern Cape Province.
- VIA for the proposed construction of a 132kV power line for the Redstone Thermal Energy Plant near Lime Acres, Northern Cape Province.
- VIA for the proposed Mookodi Integration phase 2 132kV power lines and Ganyesa substation near Vryburg, North West Province.
- VIA for the proposed 132kV power lines associated with the PV Plants on Droogfontein Farm near Kimberley, Northern Cape Province.
- VIA (Scoping phase) for the Eastside Junction Mixed Use Development near Delmas, Mpumalanga Province.
- VIA for the proposed development of a learning and development retreat and an executive and staff lodge at Mogale's Gate, Gauteng Province.
- VIA for the proposed construction of a substation and 88kV power line between Heilbron (via Frankfort) and Villiers, Free State Province.
- Visual Status Quo Assessment for the Moloto Development Corridor Feasibility Study in the Gauteng Province, Limpopo Province and Mpumalanga Province.
- VIA the West Rand Strengthening Project – 400kV double circuit power line and substation extension in the West Rand, Gauteng.
- VIA for the proposed construction of a wind farm and solar photovoltaic plant near Loeriesfontein, Northern Cape Province.
- Visual sensitivity mapping exercise for the proposed Mogale's Gate Expansion, Gauteng.
- VIA (Scoping Phase) for the proposed Renosterberg Solar PV Power Plant and Wind Farm near De Aar, Northern Cape Province.
- Scoping level VIAs for the proposed construction of three Solar Power Plants in the Northern Cape Province.
- VIAs for the Spoornet Coalink Powerline Projects in KZN and Mpumalanga.
- Visual Constraints Analysis for the proposed establishment of four Wind Farms in the Eastern and Northern Cape Province.
- VIA (Scoping Phase) for the proposed development of a solar energy facility in De Aar, Northern Cape.
- VIA (Scoping Phase) for the proposed development of a solar energy facility in Kimberley, Northern Cape.

### **STRATEGIC ENVIRONMENTAL PLANNING**

- Assistance with the Draft Environmental Management Framework for the Mogale City Local Municipality, Gauteng Province.
- Sensitivity Negative Mapping Analysis for the proposed Mogale's Gate Development, Gauteng Province.



**OTHER****Jan 2008 – July 2010**

Environmental management, research, report writing, and landscape design for several development projects:

- Report writing, coordination and public participation for several BAs.
- Planting design (including rehabilitation) in accordance with natural ecological processes, endemic species and appropriate techniques.
- Graphic presentations and mapping for several VIAs and landscape architectural designs, including three-dimensional imagery.

**Feb 2006 – Dec 2006**

Landscape Architectural drafting, rendering and planting design for a variety of projects including the Oprah Winfrey Academy for girls and the New UNISA Student Entrance Building.

<b>Name</b>	Stephan Hendrik Jacobs
<b>Profession</b>	Environmentalist
<b>Name of Firm</b>	SiVEST SA (Pty) Ltd
<b>Present Appointment</b>	Graduate Environmental Consultant
<b>Years with Firm</b>	Joined May 2015
<b>Date of Birth</b>	28 May 1991
<b>ID Number</b>	9105285065080
<b>Nationality</b>	South African



### Education

Pretoria Boys High, Pretoria, South Africa, Matriculated 2009.

### Professional Qualification

- BSc Hons Environmental Management and Analysis, (Post Graduate) University Of Pretoria Honours (2014).
- BSc Environmental Sciences (Undergraduate) University Of Pretoria (2012-2013)

### Employment Record

May 2015 – current	SiVEST SA (Pty) Ltd – Graduate Environmental Consultant
Nov 2014 – Feb 2015	Sodwana Bay Fishing Charters – Assistant Manager
Oct 2014 – Mar 2015	Ufudu Turtle Tours – Tour Guide

### Language Proficiency

LANGUAGE	SPEAK	READ	WRITE
English	Excellent	Excellent	Excellent
Afrikaans	Good	Good	Good

### Key Experience

Stephan joined SiVEST in May 2015 and holds the position of Graduate Environmental Consultant in the Johannesburg office.

Stephan specialises in the field of Environmental Management and has been involved in the compilation of Environmental Impact Assessments (EIAs) and Basic Assessments (BAs). Stephan has also assisted extensively in the undertaking of field work and the compilation of reports for specialist studies such as surface water and visual impact assessments. Stephan also has experience in Environmental Compliance and Auditing and has acted as an Environmental Control Officer (ECO) for several infrastructure projects.

Stephan has been educated and achieved his degrees (BSc and BSc Hons) at the University of Pretoria in Environmental Sciences (Environmental Management & Analysis).

Throughout his time at SiVEST, Stephan has acquired the following skills:

- Strong computer skills (Work, excel, powerpoint etc);
- Strong Proposal and report writing skills;
- Report compilation skills for Environmental Impact Assessments (EIAs) and Basic Assessments (BAs);

- 
- Report compilation skills for Environmental Management Plans/Programmes (EMPr);
  - Compilation and conducting Visual Impact Assessments;
  - Assisting in Surface Water / Wetland Delineations and Assessments.

Key experience includes:

- Environmental Impact Assessment (EIA) of small, medium and large-scale infrastructure projects,
- Basic Assessment (BA), of small, medium and large-scale infrastructure projects,
- Environmental Management Plans (EMPr), of small, medium and large-scale infrastructure projects,
- Proposal and tender compilation,
- Environmental Compliance and Auditing (ECO);
- Various site inspections, and
- Visual Impact Assessments (Field work and report compilation).

### Projects Experience

Stephan is responsible for the following activities: report writing, proposal writing, assisting in specialist surface water delineation and functional assessments, assisting in visual impact assessments and environmental compliance and auditing procedures. Current and completed projects / activities are outlined in detail below:

- Environmental Control Officer (ECO) for the Polokwane Integrated Rapid Public Transport System (IRPTS), Limpopo Province.
- Basic Assessment (BA) for the construction of a Non-Motorised Transport (NMT) Training and Recreational Park adjacent to the Peter Mokaba Stadium in Polokwane, Limpopo Province.
- Basic Assessment (BA) for the Proposed Expansion of the Tissue Manufacturing Capacity at the Twinsaver Kliprivier Operations Base, Gauteng Province.
- Environmental Control Officer (ECO) for Phase 1 and Phase 2 of the Newmarket Retail Development, Gauteng Province.
- Environmental Review of the Xakwa Coal Operations, adjacent to the proposed Eastside Junction Development.
- Environmental Due Diligence for the Woodlands and Harrowdene Office Parks in Woodmead, Gauteng Province.
- Visual Impact Assessment for the Helena Solar PV Plant, Northern Cape Province.
- Visual Impact Assessment for the Nsoko Msele Integrated Sugar Project, Swaziland.
- Visual Impact Assessments for the proposed construction of the Sendawo Solar 1, Sendawo Solar 2 and Sendawo Solar 3 Photovoltaic (PV) Energy Facilities near Vryburg, North West Province.
- Visual Impact Assessments for the proposed construction of the Sendawo Substation and Associated 400kV Power Line near Vryburg, North West Province.
- Visual Impact Assessments for the proposed construction of the Tlisitseng Solar 1 and Tlisitseng Solar 2 Photovoltaic (PV) Energy Facilities near Lichtenburg, North West Province.
- Visual Impact Assessment for the proposed construction of the 3000MW PhilCo Green Energy Wind Farm and Associated Infrastructure near Richmond, Northern Cape Province.

- Visual Impact Assessment for the proposed construction of the Aletta 140MW Wind Energy Facility neat Copperton, Northern Cape Province.
- Visual Impact Assessment for the proposed construction of the Eureka 140MW Wind Energy Facility and associated Infrastructure near Copperton, Northern Cape Province.
- Visual Impact Assessment for the proposed construction of the Eureka 400kV Substation and 400kV Power Line neat Copperton, Northern Cape Province.
- Basic Visual Impact Assessments for the proposed construction of the Tlisitseng 1 and Tlisitseng 2 Substations and Associated 132kV Power Lines near Lichtenburg, North West Province.
- Basic Visual Impact Assessment for the proposed construction of up to a 132kV Power Line and Associated Infrastructure for the Rooipunt Solar Thermal Power Plant near Upington, Northern Cape Province.
- Basic Visual Impact Assessment for the proposed construction of up to a 132kV Power Line and Associated Infrastructure for the proposed Kalkaar Solar Thermal Power Plant near Kimberly, Free State and Northern Cape Provinces.
- Surface Water Assessment for the Steve Thswete Local Municipality, Mpumalanga Province.
- Surface Water Delineation and Assessment for the proposed coal Railway Siding at the Welgedacht Marshalling Yard and associated Milner Road Upgrade near Springs, Ekurhuleni Metropolitan Municipality.

# Johann Lanz

## Curriculum Vitae

### Education

- M.Sc. (Environmental Geochemistry) University of Cape Town 1996 - June 1997
- B.Sc. Agriculture (Soil Science, Chemistry) University of Stellenbosch 1992 - 1995
- BA (English, Environmental & Geographical Science) University of Cape Town 1989 - 1991
- Matric Exemption Wynberg Boy's High School 1983

### Professional work experience

I am registered as a Professional Natural Scientist (Pri.Sci.Nat.) in the field of soil science, registration number 400268/12.

- **Soil Science Consultant** **Self employed** **2002 - present**  
I run a soil science consulting business, servicing clients in both the environmental and agricultural industries. Typical consulting projects involve:
  - Soil specialist study inputs to EIA's, SEA's and EMPR's. These have focused on impact assessments and rehabilitation on agricultural land, rehabilitation and re-vegetation of mining and industrially disturbed and contaminated soils, as well as more general aspects of soil resource management. Recent clients include: CSIR; SRK Consulting; Aurecon; Mainstream Renewable Power; SiVEST; Savannah Environmental; Subsolar; Red Cap Investments; MBB Consulting Engineers; Enviroworks; Sharples Environmental Services; Haw & Inglis; BioTherm Energy; Tiptrans.
  - Soil resource evaluations and mapping for agricultural land use planning and management. Recent clients include: Cederberg Wines; Unit for Technical Assistance - Western Cape Department of Agriculture; Wedderwill Estate; Goedgedacht Olives; Zewenwacht Wine Estate, Lourensford Fruit Company; Kaarsten Boerdery; Thelema Mountain Vineyards; Rudera Wines; Flagstone Wines; Solms Delta Wines; Dornier Wines.
  - I have conducted several research projects focused on conservation farming, soil health and carbon sequestration.
- **Soil Science Consultant** **Agricultural Consultants International (Tinie du Preez)** **1998 - end 2001**  
Responsible for providing all aspects of a soil science technical consulting service directly to clients in the wine, fruit and environmental industries all over South Africa, and in Chile, South America.
- **Contracting Soil Scientist** **De Beers Namaqualand Mines** **July 1997 - Jan 1998**  
Completed a contract to make recommendations on soil rehabilitation and re-vegetation of mined areas.

### Publications

- Lanz, J. 2012. Soil health: sustaining Stellenbosch's roots. In: M Swilling, B Sebitosi & R Loots (eds). *Sustainable Stellenbosch: opening dialogues*. Stellenbosch: SunMedia.
- Lanz, J. 2010. Soil health indicators: physical and chemical. *South African Fruit Journal*, April / May 2010 issue.
- Lanz, J. 2009. Soil health constraints. *South African Fruit Journal*, August / September 2009 issue.
- Lanz, J. 2009. Soil carbon research. *AgriProbe*, Department of Agriculture.
- Lanz, J. 2005. Special Report: Soils and wine quality. *Wineland Magazine*.

I am a reviewing scientist for the *South African Journal of Plant and Soil*.

**Name** Kerry Lianne Schwartz

**Profession** GIS Specialist

**Name of Firm** SiVEST SA (Pty) Ltd

**Present Appointment** Senior GIS Consultant:  
Environmental Division

**Years with Firm** 24 Years

**Date of Birth** 21 October 1960

**ID No.** 6010210231083

**Nationality** South African



### Professional Qualifications

BA (Geography), University of Leeds 1982

### Employment Record

1994 – Present SiVEST SA (Pty) Ltd - Environmental Division: GIS/Database Specialist.  
 1988 - 1994 SiVEST (formerly Scott Wilson Kirkpatrick): Town Planning Technician.  
 1984 – 1988 Development and Services Board, Pietermaritzburg: Town Planning Technician.

### Language Proficiency

LANGUAGE	SPEAK	READ	WRITE
English	Fluent	Fluent	Fluent

### Key Experience

Kerry is a GIS specialist with more than 20 years' experience in the application of GIS technology in various environmental, regional planning and infrastructural projects undertaken by SiVEST.

Kerry's GIS skills have been extensively utilised in projects throughout South Africa in other Southern African Countries. These projects have involved a range of GIS work, including:

- Design, compilation and management of a demographic, socio-economic, land use, environmental and infrastructural databases.
- Collection, collation and integration of data from a variety of sources for use on specific projects.
- Manipulation and interpretation of both spatial and alphanumeric data to provide meaningful inputs for a variety of projects.
- Production of thematic maps and graphics.
- Spatial analysis and 3D modelling, including visual and landscape assessments.

## Projects Experience

### STRATEGIC PLANNING PROJECTS

Provision of database, analysis and GIS mapping support for the following:

- Water Plan 2025: Socio-economic, Land Use and Demographic Update – Umgeni Water (KwaZulu-Natal).
- Eskom Strategic Plan – Eskom (KwaZulu-Natal).
- Umgeni Water Quality Management Plan – Department of Water Affairs and Umgeni Water (KwaZulu-Natal).
- KwaZulu-Natal Development Perspective – Department of Economic Affairs (KwaZulu-Natal).
- Indlovu Regional Integrated Plan – Department of Local Government and Housing (KwaZulu-Natal).
- Umgeni Water and Sanitation Needs Analysis – Umgeni Water (KwaZulu-Natal).
- Metro Waste Water Management Plan – Durban Waste Water management, City of Durban (KwaZulu-Natal).
- KwaZulu-Natal Electrification Prioritisation Model – Eskom (KwaZulu-Natal).
- Umzinyathi Regional Development Plan – Umzinyathi Regional Council (KwaZulu-Natal).
- GIS driven model to assess future population growth in quaternary catchments under different growth scenarios – Umgeni Water (KwaZulu-Natal).
- Ubombo Master Water Plan Study – Mhlathuze Water Board (KwaZulu-Natal).
- Development strategy for local economic development and social reconstruction of the Germiston-Daveyton Activity Corridor – Eastern Gauteng Services Council (Gauteng).
- Structure Plan for the Cities of Beira and Dondo in Mozambique – World Bank.
- Land identification study for low cost housing in the Indlovu Region – Indlovu Regional Council (KwaZulu-Natal).
- Local Development Plan for Manzini – Manzini Town Council (Swaziland).
- Indlovu Project Prioritisation Model – Indlovu Regional Council (KwaZulu-Natal).
- Structure Plans for the Cities of Ndola and Luanshya - Ministry of Local Government and Housing (Zambia).
- Database development for socio-economic and health indicators arising from Social Impact Assessments conducted for the Lesotho Highlands Development Association – Lesotho.
- Development Plan for the adjacent towns of Kasane and Kazungula - Ministry of Local Government, Land and Housing (Botswana).
- Development Plan for the rural village of Hukuntsi - Ministry of Local Government, Land and Housing (Botswana).
- Provision of data platform for the spatial analysis of water supply, demand and affordability in Bulawayo – City of Bulawayo and NORAIID (Zimbabwe).
- Integrated Development Plans for various District and Local Municipalities including:
  - Nquthu Local Municipality (KwaZulu-Natal)
  - Newcastle Local Municipality (KwaZulu-Natal)
  - Amajuba District Municipality (KwaZulu-Natal)
  - Jozini Local Municipality (KwaZulu-Natal)
  - Umhlabuyalingana Local Municipality (KwaZulu-Natal)
- uMhlathuze Rural Development Initiative – uMhlathuze Local Municipality (KwaZulu-Natal).
- Rural roads identification – uMhlathuze Local Municipality (KwaZulu-Natal).
- Mapungubwe Tourism Initiative – Development Bank (Limpopo Province).
- Northern Cape Tourism Master Plan – Department of Economic Affairs and Tourism (Northern Cape Province).



- Spatial Development Framework for Gert Sibande District Municipality (Mpumalanga) in conjunction with more detailed spatial development frameworks for the 7 Local Municipalities in the District, namely:
  - Albert Luthuli Local Municipality
  - Msukaligwa Local Municipality
  - Mkhondo Local Municipality
  - Pixley Ka Seme Local Municipality
  - Dipaleseng Local Municipality
  - Govan Mbeki Local Municipality
  - Lekwa Local Municipality
- Land Use Management Plans/Systems (LUMS) for various Local Municipalities including:
  - Nkandla Local Municipality (KwaZulu-Natal)
  - Hlabisa Local Municipality (KwaZulu-Natal)
  - uPhongolo Local Municipality (KwaZulu-Natal)
  - uMshwathi Local Municipality
- Spatial Development Framework for uMhlathuze Local Municipality (KwaZulu-Natal).
- Spatial Development Framework for Greater Clarens – Maloti-Drakensberg Transfrontier Park (Free State).
- Land use study for the Johannesburg Inner City Summit and Charter – City of Johannesburg (Gauteng).
- Port of Richards Bay Due Diligence Investigation – Transnet
- Jozini Sustainable Development Plan – Jozini Local Municipality (KwaZulu-Natal)
- Spatial Development Framework for Umhlabuyalingana Local Municipality (KwaZulu-Natal)

### **BUILT INFRASTRUCTURE**

- EIA and EMP for a 9km railway line and water pipeline for manganese mine – Kalagadi Manganese (Northern Cape Province).
- EIA and EMP for 5x 440kV Transmission Lines between Thyspunt (proposed nuclear power station site) and several substations in the Port Elizabeth area – Eskom (Eastern Cape Province).
- Initial Scoping for the proposed 750km multi petroleum products pipeline from Durban to Gauteng/Mpumalanga – Transnet Pipelines.
- Detailed EIA for multi petroleum products pipeline from Kendall Waltloo, and from Jameson Park to Langtaagte Tanks farms –Transnet Pipelines.
- Environmental Management Plan (operational management plan) including visual impact assessment, noise impact assessment and flight path determination for the commercialization of Skukuza Airport – SANParks (Mpumalanga Province).
- Environmental Management Plan for copper and cobalt mine (Democratic Republic of Congo).
- EIA and Agricultural Feasibility study for Miwani Sugar Mill (Kenya).
- EIAs for Concentrated Solar and Photovoltaic power plants and associated infrastructure (Northern Cape, Free State, Limpopo and North West Province).
- EIAs for Wind Farms and associated infrastructure (Northern Cape and Western Cape).
- Basic Assessments for 132kV Distribution Lines (Free State, KwaZulu-Natal, Mpumalanga and North West Province).
- Environmental Assessment for the proposed Moloto Development Corridor (Limpopo).
- Environmental Advisory Services for the Gauteng Rapid Rail Extensions Feasibility Project.
- Environmental Screening for the Strategic Logistics and Industrial Corridor Plan for Strategic Infrastructure Project 2, Durban-Free State-Gauteng Development Region.

**STATE OF THE ENVIRONMENT REPORTING**

- 2008 State of the Environment Report for City of Johannesburg.
- Biodiversity Assessment – City of Johannesburg.

**STRATEGIC ENVIRONMENTAL ASSESSMENTS AND ENVIRONMENTAL MANAGEMENT FRAMEWORKS**

- SEA for Greater Clarens – Maloti-Drakensberg Transfrontier Park (Free State).
- SEA for the Marula Region of the Kruger National Park, SANParks.
- SEA for Thanda Private Game Reserve (KwaZulu-Natal).
- SEA for KwaDukuza Local Municipality (KwaZulu-Natal).
- EMF for proposed Renishaw Estate (KwaZulu-Natal).
- EMF for Mogale City Local Municipality, Mogale City Local Municipality (Gauteng).
- SEA for Molemole Local Municipality, Capricorn District Municipality (Limpopo).
- SEA for Blouberg Local Municipality, Capricorn District Municipality (Limpopo).

**WETLAND STUDIES**

- Rehabilitation Planning for the Upper Klip River and Klipspruit Catchments, City of Johannesburg (Gauteng).
- Wetland assessments for various Concentrated Solar and Photovoltaic power plants and associated infrastructure (Limpopo, Northern Cape, North West Province and Western Cape).
- Wetland assessments for Wind Farms and associated infrastructure (Northern Cape and Western Cape).
- Wetland assessments for various 132kV Distribution Lines (Free State, KwaZulu-Natal, Mpumalanga and North West Province).

**VISUAL IMPACT ASSESSMENTS**

- Visual Impact Assessment for the proposed relocation of the Skukuza Conference Centre, SANParks.
- Visual Impact Assessment for the proposed re-commercialisation of the Skukuza Airport.
- Visual Impact Assessment for the redevelopment of the Newmarket Racecourse, Alberton, Gauteng
- Visual Impact Assessment for the Thyspunt Transmission Lines Integration Project
- Visual Impact Assessments for various Solar Power Plants in the Northern Cape
- Visual Impact Assessments for various Wind Farms in the Northern Cape
- Visual Impact Assessments for various 132kV Distribution Lines (Free State, KwaZulu-Natal, Mpumalanga and North West Province).
- Landscape Character Assessment for Mogale City Environmental Management Framework

**Name** Shaun Taylor

**Profession** Environmental Scientist

**Name of Firm** SiVEST SA (Pty) Ltd

**Present Appointment** Environmental Scientist:  
Environmental Division

**Date of Birth** 02 February 1984

**ID Number** 8402025020082

**Nationality** South African



### Education

MSc – Aquatic Health  
 BSc (Hons) – Geography & Environmental Studies  
 BA – Geography and Environmental Science

### Professional Qualifications

MSc – Aquatic Health, Johannesburg University  
 Research Project: The physico-chemical and biological characteristics of selected seasonal pans in the Kruger National Park, South Africa

BSc (Hons) – Geography & Environmental Studies, Witwatersrand University (First class)  
 Research Project: Sitatunga Habitat Suitability in the Okavango Delta, Botswana

BA – Geography & Environmental Science, Monash University South Africa (Distinction)

Certification in Wetland Delineation and Rehabilitation Training Course from the School of Continuing Education, University of Pretoria

### Language Proficiency

LANGUAGE	SPEAK	READ	WRITE
English	Excellent	Excellent	Excellent
Afrikaans	Fair	Fair	Fair

### Employment Record

Oct 2010 – Present SiVEST SA (Pty) Ltd Environmental Division – Environmental Scientist  
 Oct 2009 – Mar 2010 Envirokey cc – Junior Environmental Consultant and GIS support  
 Aug 2007 – Sep 2009 Holgate, Meyer and Associates Environmental Management Services  
 – Junior Environmental Consultant

## Key Experience

Shaun joined SiVEST in October 2010 and is based in the Johannesburg office in the capacity of an Environmental Scientist.

Shaun has a passion for working in the environmental and water (wetlands) field. From an environmental management perspective, Shaun has completed a number of environmental impact assessments, basic assessments, strategic environmental assessments, environmental management programmes/plans, various exemption and amendment applications, and conducted environmental auditing. Within the water field, Shaun has undertaken water use licensing (WUL) and WUL compliance monitoring for various developments. In terms of specialist work, Shaun has completed numerous surface water (including wetlands and riparian) assessments for renewable energy projects, linear projects as well as site specific projects.

Through his time at SiVEST, Shaun has acquired the following skills:

- Strong computer skills (Word, excel, powerpoint etc.);
- Strong proposal and report writing skills
- Surface water assessment techniques;
- Environmental Impact Assessments;
- Environmental Management Programmes/Plans;
- Environmental Compliance and Auditing;
- Environmental Amendment and Exemption Applications;
- Water Use License Applications.

## Projects Experience

Shaun is responsible for the following activities: conducting EIA, BA and WULA processes, undertaking amendment and exemption applications, general project management, report writing, proposal writing, invoicing, conducting specialist surface water delineation and functional assessments, environmental and water related compliance monitoring and auditing. Current and completed projects / activities are outlined in detail below:

### STRATEGIC ENVIRONMENTAL ASSESSMENTS

- Molemole Local Municipality Strategic Environmental Assessment, Limpopo Province (2014/2015).

### ENVIRONMENTAL IMPACT ASSESSMENTS

- Mookodi Integration Project Environmental Impact Assessment (2011/2012);
- Noupoot Wind Farm, Northern Cape Province (2011/2012);
- Loeriesfontein Wind Farm and PV Plant, Northern Cape Province (2011/2012);
- Renosterberg Wind Farm and PV Plant near De Aar, Northern Cape Province (2012).

### BASIC ASSESSMENTS

- Proposed Installation of a 500m<sup>3</sup> Bulk Storage Fuel Oil Tank at Grootvlei Power Station, Mpumalanga Province (2011/2012);
- Proposed development of a 19MW Photovoltaic Solar Power Plant near Kimberley, Northern Cape Province (2012);
- Proposed development of a 19MW Photovoltaic Solar Power Plant near Danielskuil, Northern Cape Province (2012);

## CURRICULUM VITAE

Shaun Taylor

- Frankfort Strengthening Project: 88kV Power Line from Heilbron (via Frankfort) to Villiers, Free State Province (2013);
- Wilger 132kV Overhead Distribution Power Line, Northern Cape Province (2013/2014);
- Limestone 1 – 132kV Overhead Distribution Power Line, Northern Cape Province (2013/2014);
- Limestone 2 – 132kV Overhead Distribution Power Line, Northern Cape Province (2013/2014);
- Proposed Tweespruit to Welroux Power Line and Substations, Free State Province (2014/2015);
- Sir Lowry's Pass River Flood Alleviation Project, Western Cape Province (2014/2015).

### ENVIRONMENTAL MANAGEMENT PLANS / PROGRAMMES

- Eskom Thyspunt Nuclear Integration Project Environmental Management Plan – Transmission Infrastructure (2011);
- Eskom Thyspunt Nuclear Integration Project Environmental Management Plan – Substations (2011);
- Mookodi Integration Project Environmental Management Plan – Transmission Infrastructure and Substations (2011/12);
- Noupoot Wind Farm Environmental Management Programme (2012);
- Environmental Management Programme for a 500m<sup>3</sup> Bulk Storage Fuel Oil Tank at Grootvlei Power Station (2012);
- Environmental Management Programme for a 19MW Photovoltaic Solar Power Plant near Kimberley, Northern Cape Province (2012);
- Environmental Management Programme for a 19MW Photovoltaic Solar Power Plant near Danielskuil, Northern Cape Province (2012);
- Karowe Diamond Mine Environmental Management Plan Review and Update, Boteti District, Botswana (2012);
- Environmental Management Programme for the Frankfort Strengthening Project: 88kV power line from Heilbron (via Frankfort) to Villiers, Free State Province (2013);
- Environmental Management Programme for the Wilger 132kV Overhead Distribution Power Line, Northern Cape Province (2013);
- Environmental Management Programme for the Limestone 1 – 132kV Overhead Distribution Power Line, Northern Cape Province (2013);
- Environmental Management Programme for the Limestone 2 – 132kV Overhead Distribution Power Line, Northern Cape Province (2013);
- Environmental Management Programme for the Tweespruit to Welroux Power Line and Substations, Free State Province (2014/2015).

### AMENDMENT APPLICATIONS

- Loeriesfontein 140MW Wind Farm, Northern Cape Province: Substantive and Minor Amendments (2013/2014);
- Khobab 140MW Wind Farm, Northern Cape Province: Substantive and Minor Amendments (2013/2014);
- Loeriesfontein 50MW Wind Farm, Northern Cape: Environmental Authorisation Minor Amendments (2013/2014);
- Loeriesfontein 100MW Solar Photovoltaic Plant, Northern Cape: Environmental Authorisation Minor Amendments (2013/2014);
- Noupoot 188MW Wind Farm, Northern Cape: Environmental Authorisation Minor Amendments (2013/2014).

### ENVIRONMENTAL CONSTRAINTS\FATAL FLAWS

- Social Housing Projects in Sasolburg and Secunda Final Environmental Constraints Analysis Report (2011);

## CURRICULUM VITAE

Shaun Taylor

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- Establishment of Wind Farms in Northern and Eastern Cape Provinces Environmental Constraints Analysis Report (2011).

### ENVIRONMENTAL AND WATER USE LICENSE COMPLIANCE AUDITING

- Environmental Compliance Auditing for the Nigel Substation to Jameson Park (Inland Terminal 2) 88kV power lines – Construction Phase (2011);
- Water Use License Compliance Auditing for Grootvlei Power Station, Mpumalanga Province, South Africa (2012);
- Environmental Compliance Auditing for the Meadow Feeds Standerton Broiler Feed Mill, Mpumalanga Province (2012/2013);
- Transnet Rail WUL Audit, (2014);
- Kusile Power Station Armcors WUL Audit (2014);
- Kusile Power Station Ash Dump WUL Audit (2014);
- Kusile Power Station Pollution Dams WUL Audit (2014);
- Kusile Power Station Stream Diversion and Water Pipeline Crossings WUL Audit (2014/2015).

### WETLAND AND RIPARIAN DELINEATION AND FUNCTIONAL ASSESSMENTS (RECENT)

- Approximately 40 wetland and riparian delineations and functional assessments for renewable energy, linear and site specific developments from 2010-2013 (Full list available on request).
- Mamatwan Manganese Mine, Northern Cape Province: Surface Water Assessment (2014);
- Two 5MW Photovoltaic Plants, Free State Province: Surface Water Assessment (2014);
- Dwarsrug Wind Farm, Northern Cape Province: Surface Water Assessment (2014);
- Manzimtoti Sewer Line Project, Kwa-Zulu Natal Province: Surface Water Assessment (2014);
- Compensation Flats Development, Kwa-Zulu Natal Province: Surface Water Assessment (2014);
- Tinley Manor South Road Development, Kwa-Zulu Natal Province: Surface Water Assessment (2014);
- Ntuzuma Sewer Line Project, Kwa-Zulu Natal Province: Surface Water Assessment (2014);
- Esphiva Sewer Line Project, Kwa-Zulu Natal Province: Surface Water Assessment (2014);
- Frankfort Wetland Walk-down Assessment, Free State Province (2014);
- Grootvlei Power Station Wetland Assessment, Mpumalanga Province (2014/2015).

### WETLAND AND RIPARIAN REHABILITATION / POST-REHABILITATION / AUDITING ASSESSMENTS

- Post-rehabilitation Assessment of Three Wetland Crossing Sites for Chemwes (Pty) Ltd for the Re-working of a Tailings Dam Project near Stilfontein, North West Province, South Africa (2011);
- Wetland and River Rehabilitation Plan (2011);
- Post-rehabilitation Assessment of the Inland New Multi-Purpose Pipeline in the Mpumalanga and Gauteng Provinces of South Africa (2012);
- John Ross Highway Wetland Rehabilitation Plan (2014).

### WATER USE LICENSES

- Integrated Water Use License Application for the Construction of a CSP and CPV/ PV Plant in De Aar, Northern Cape Province of South Africa (2010);
- Water Use License for Ga-rankuwa Substation, Gauteng Province (2013);
- Water Use License for Klevebank to Dalkieth 88kV Power Line, Gauteng Province (2013);
- Water Use License Application for the Frankfort Strengthening Project: 88kV Power Line from Heilbron (via Frankfort) to Villiers, Free State Province (2014/2015);
- Water Use Licensing for the Integrated Polokwane Rapid Public Transport Network (2014/2015).

**ENVIROKEY CC - JUNIOR ENVIRONMENTAL CONSULTANT AND GIS SUPPORT - OCT 2009 – MAR 2010**

Responsible for managing basic assessments, report writing, conducting specialist wetland assessments, auditing procedures and GIS mapping. Full list of activities completed available on request.

**JUNIOR ENVIRONMENTAL CONSULTANT AUG 2007 – SEP 2009**

Responsible for managing basic assessments, report writing, conducting specialist wetland assessments, environmental auditing procedures and GIS mapping. Full list of activities completed available on request.

**Conferences and Publications**

Taylor, S. R., 2008: A Critical Review of Strategic Environmental Assessment in South Africa and looking towards Future Considerations, presented at the South African Students Geography Conference, University of Cape Town, Cape Town.

**Academic and Work Related Achievements**

- Awarded Monash Dean's recognition award for outstanding academic results for second semester of 2006;
- Awarded Monash Dean's recognition award for outstanding academic results for first semester of 2007;
- Awarded Monash Dean's recognition award for outstanding academic results for second semester of 2007;
- Awarded Golden Key membership and certificate to the International Honours Society for outstanding academic achievements in undergraduate studies for Monash 2008;
- Awarded Study Sponsorship from Holgate, Meyer and Associates for Honours study in 2008/09;
- Awarded Certificate of Merit from University of Witwatersrand for outstanding work for the course of Honours in 2009/10;
- Awarded Merit Bursary for MSc from the University of Johannesburg 2010 for excellent academic results;
- Numerous short-course certificates (Grass identification, wildflower identification, veld management, water use licensing).



## Short CV/Summary of Expertise – Simon Todd

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[Simon.Todd@3foxes.co.za](mailto:Simon.Todd@3foxes.co.za)

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Fish Hoek

7975

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- Profession: Independent Ecological Consultant - Pr.Sci.Nat 400425/11
- Specialisation: Plant & Animal Ecology
- Years of Experience: 16 Years

### *Skills & Primary Competencies*

- Research & description of ecological patterns & processes in Nama Karoo, Succulent Karoo, Thicket, Arid Grassland, Fynbos and Savannah Ecosystems.
- Ecological impacts of land use on biodiversity
- Ecological management plans and advice
- Vegetation surveys & degradation assessment & mapping
- Long-term vegetation and fauna monitoring
- Faunal surveys & assessment.
- GIS & remote sensing

### *Tertiary Education:*

- 1992-1994 – BSc (Botany & Zoology), University of Cape Town
- 1995 – BSc Hons, Cum Laude (Zoology) University of Natal
- 1996-1997- MSc, Cum Laude (Conservation Biology) University of Cape Town

### *Employment History*

- 1997 – 1999 – Research Scientist (Contract) – South African National Biodiversity Institute
- 2000-2004 – Specialist Scientist (Contract ) - South African National Biodiversity Institute
- 2004-2007 – Senior Scientist (Contract) – Plant Conservation Unit, Department of Botany, University of Cape Town
- 2007 Present – Senior Scientist (Associate) – Plant Conservation Unit, Department of Botany, University of Cape Town.

- 2007 – Present – Independent Ecological Consultant as sole proprietor of Simon Todd Consulting. Providing specialist ecological assessments and ecological management advice to mines, renewable energy developments, private conservation areas etc.

#### *General Experience & Expertise*

- Conducted a large number of fauna and flora specialist assessments distributed widely across South Africa. Projects have ranged in extent from <50 ha to more than 50 000 ha.
- Provided ecological management and monitoring advice for private conservation areas, mines, renewable energy developments etc.
- Widely-recognized arid ecology specialist. Published numerous peer-reviewed scientific publications based on various ecological studies across the country. Past chairman of the Arid Zone Ecology Forum and current executive committee member.
- Extensive experience in the field and exceptional level of technical expertise, particularly with regards to GIS capabilities which is essential with regards to producing high-quality sensitivity maps for use in the design of final project layouts.
- Strong research background which has proved invaluable when working on several ecologically sensitive and potentially controversial sites containing some of the most threatened fauna in South Africa.
- Published numerous research reports as well as two book chapters and a large number of papers in leading scientific journals dealing primarily with human impacts on the vegetation and ecology of the arid and semi-arid parts of South Africa.
- Maintain several long-term vegetation monitoring projects distributed across Namaqualand and the karoo.
- Guest lecturer at two universities and have also served as an external examiner.
- Reviewed papers for more than 10 international ecological journals.
- Past chairman and current committee member of the Arid Zone Ecological Forum.
- SACNASP registered as a Professional Natural Scientist, (Ecology) No. 400425/11.

A selection of recent work is as follows:

#### **Specialist Assessments:**

##### **Wind Farm Developments:**

Proposed Spitskop Wind Energy Facility near Cookhouse: Fauna & Flora Specialist Study for Impact Assessment. Savannah Environmental 2013.

Environmental Impact Assessment for the Proposed Roggeveld Wind Energy Facility and Associated Grid Connection Infrastructure: Fauna & Flora Specialist Report for EIA. Savannah Environmental 2013.

Proposed Mainstream South Africa Springfontein Wind Energy Facility: Terrestrial Fauna & Flora Specialist Study for EIA. Savannah Environmental 2012.

Environmental Impact Assessment for the Establishment of the Wolseley Wind Farm, Western Cape Province. Fauna & Flora Specialist Report. Arcus Gibb 2012.

Proposed Eskom 300MW Kleinsee Wind Energy Facility. Fauna Specialist Report For Impact Assessment. Savannah Environmental 2012.

Proposed Inca Energy Swellendam Wind Energy Facility: Fauna Specialist Report For Impact Assessment. Savannah Environmental 2012.

Proposed Moorreesburg Wind Energy Facility: Fauna & Flora Specialist Scoping Report For Impact Assessment. Savannah Environmental 2012.

Terrestrial Ecology Specialist Study for the Proposed Establishment of a Renewable Energy Facility near Sutherland, Western and Northern Cape Provinces. Environmental Resources Management (ERM) 2011.

Roggeveld Wind Farm: Ecological and Biodiversity Assessment: Terrestrial Vertebrate Fauna & Botanical Specialist Study. Specialist Report for Environmental Resources Management (ERM). 2011.

Zen Wind Energy Facility. Fauna & Flora Specialist Impact Assessment Report. Savannah Environmental. 2012.

Proposed Project Blue Wind and Solar Energy Facility, Near Kliensee. Fauna Specialist Report For Impact Assessment. Savannah Environmental 2012.

Garob Wind Farm: Fauna & Flora Specialist Report for Impact Assessment. Savannah Environmental 2012.

Loeriesfontein Wind Energy Facility – Substation & Grid Connection. Fauna & Flora Specialist Report for Basic Assessment. Savannah Environmental 2012.

Noblesfontein Wind Energy Facility, Victoria West. Ecological Walk-Through Report. Savannah Environmental 2012.

Gouda Wind Energy Facility. Fauna And Flora Walk Through Report. Savannah Environmental 2012.

Noblesfontein Wind Energy Facility, Victoria West. Ecological Walk-Through Report. Savannah Environmental 2012.

Klawer Wind Farm: Ecological and Biodiversity Assessment: Terrestrial Vertebrate Fauna & Botanical Specialist Study. Specialist Report for Environmental Resources Management. 2011.

Lambert's Bay Wind Farm: Ecological and Biodiversity Assessment: Terrestrial Vertebrate Fauna & Botanical Specialist Study. Specialist Report for Environmental Resources Management. 2011.

Richtersveld Wind Farm: Ecological and Biodiversity Assessment: Terrestrial Vertebrate Fauna & Botanical Specialist Study. Specialist Report for Environmental Resources Management (ERM). 2011.

Witberg Wind Farm: Ecological and Biodiversity Assessment: Terrestrial Vertebrate Fauna & Botanical Specialist Study. Specialist Report for Environmental Resources Management (ERM). 2011.

#### **Solar Energy Developments:**

Environmental Impact Assessment for the Proposed Re Capital 3 Solar Energy Facility and Associated Grid Connection Infrastructure, Dyason's Klip, Northern Cape. Fauna & Flora Specialist Report for EIA. CapeEAPrac 2013.

Environmental Impact Assessment for the Proposed Richtersveld Solar Farm and Associated Grid Connection Infrastructure. Fauna & Flora Specialist Report for EIA. CapeEAPrac 2014.

Environmental Impact Assessment for the Proposed Bosjesmansberg Solar Energy Facility East of Copperton, Northern Cape Province. Fauna & Flora Specialist Report for EIA. Savannah Environmental 2013.

Specialist Vegetation Assessment for EIA. The Proposed Commercial Concentrated Solar Power Tower Facility and Concentrated Photovoltaic Facility at Van Roois Vley Near Upington. WSP 2012.

Proposed Les Marais \ Buitenfontein 5MW Solar Energy Facility in the Free State: Terrestrial Fauna & Flora Specialist Study for Basic Assessment. Savannah Environmental 2013.

Proposed Stella Helpmekaar Solar Energy Facility in the North West Province: Terrestrial Fauna & Flora Specialist Study for Basic Assessment. Savannah Environmental 2013.

Proposed Wolmaransstad Municipality 5MW Solar Energy Facility in the North West Province: Terrestrial Fauna & Flora Specialist Study for Basic Assessment. Savannah Environmental 2013.

Proposed Heuningspruit PV1 and PV2 Solar Energy Facilities Near Koppies, Free State Province: Terrestrial Fauna & Flora Specialist Study for Basic Assessment. Savannah Environmental 2013.

Proposed Hibernia PV Solar Energy Facility near Lichtenburg: Terrestrial Fauna & Flora Specialist Study For Basic Assessment. Savannah Environmental 2013.

Proposed Steynsrus PV1 And PV2 Solar Energy Facilities: Terrestrial Fauna & Flora Specialist Study for Basic Assessment. Savannah Environmental 2013.

Proposed Photovoltaic Solar Energy Facility on Konkoonsies, Northern Cape: Fauna & Flora Specialist Report for Impact Assessment. EScience Associates 2012.

Proposed Padrooi 13 Photovoltaic Solar Energy Facility, Northern Cape: Fauna & Flora Specialist Report for Impact Assessment. EScience Associates 2012.

Adams Photovoltaic Solar Energy Facility, Northern Cape: Fauna & Flora Specialist Report for Impact Assessment. EScience Associates 2012.

Proposed Photovoltaic Solar Energy Facility on Klein Swart Bast, Northern Cape: Fauna & Flora Specialist Report for Impact Assessment. EScience Associates 2012.

Proposed Khoi-Sun Solar Facility. Fauna & Flora Specialist Report for Impact Assessment. Cape EAPrac 2012.

Suurwater 62, Boesmanland 75mw Solar Farm, Aggeneys. Fauna & Flora Specialist Report for Impact Assessment. Cape EAPrac 2012.

Karoshhoek Solar Valley Development, Upington: Fauna & Flora Specialist Impact Assessment Report. Savannah Environmental. 2012.

O’Kiep 3 PV Solar Energy Facility on a Site In O’kiep Near Springbok, Northern Cape Province. Fauna & Flora Specialist Report for Basic Assessment. Savannah Environmental 2012.

Photovoltaic Solar Energy Facility on Voëlklip, South of Springbok. Fauna & Flora Specialist Report for Basic Assessment. Savannah Environmental 2012.

Namaqua Photovoltaic Solar Energy Facility on a Site North of Kamieskroon. Fauna & Flora Specialist Report for Basic Assessment. Savannah Environmental 2012.

Inca Graafwater Photovoltaic Solar Energy Facility, Graafwater, Western Cape Province. Faunal Ecology Specialist Report for Impact Assessment. Savannah Environmental 2012.

Aberdeen Solar Facility. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Venetia Solar Facility. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Southern Cross Solar Energy Facility: Southern Farm 425. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Tutwa Solar Energy Facility: Portion 4 of Narries 7. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Valleydora Photovoltaic Solar Power Plant, Free State. Fauna & Flora Specialist Report. CSIR, 2012.

Reddersburg Solar Facility - Fauna & Flora Specialist Assessment. CSIR, 2012.

Melkvllei Photovoltaic Solar Power Plant. Fauna & Flora Specialist Report for Basic Assessment. Specialist report for ERM. 2012.

Ruinte Photovoltaic Solar Power Plant. Fauna & Flora Specialist Report for Basic Assessment. Specialist report for ERM. 2012.

Genoegsaam Solar Park. Fauna & Flora Specialist Report for Basic Assessment. Specialist report for ERM. 2012.

Genoegsaam Solar Park. Fauna & Flora Specialist EIA Report. Specialist report for ERM. 2012.

Graspan Solar Facility. Fauna & Flora Specialist Report for Impact Assessment. Specialist report for ERM. 2012.

Olyven Kolk Solar Power Plant, Northern Cape: Botanical and Faunal Specialist Assessment. Specialist Report for Environmental Resources Management (ERM). 2011.

Skuitdriif Solar Facility. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Cape EAPrac. 2012.

Beaufort West Solar Facility, Erf 7388 - Fauna & Flora Specialist Assessment. Specialist Report for Cape EAPrac. 2012.

Khoi-Sun Solar Facility. Fauna & Flora Specialist Scoping Report. Specialist Report for Cape EAPrac. 2012.

Boesmanland Solar Farm. Fauna & Flora Specialist Scoping Study. Specialist Report for Cape EAPrac. 2012.

Bitterfontein Solar Plant - Fauna & Flora Specialist Assessment. Specialist Report for Cape EAPrac. 2012.

**Power Lines/Grid Connections:**

Karoshhoek Grid Integration Infrastructure. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Garob to Kronos Power Line - Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Loeriesfontein Wind Energy Facility – Substation & Grid Connection. Fauna & Flora Specialist Report for Basic Assessment. Specialist Report for Savannah Environmental. 2012.

Gouda Wind Energy Facility – Grid Connection. Walk-Through of Overhead Power Line - Gouda WEF to Eskom Windmill Substation. Specialist Report for Savannah Environmental. 2012.

Proposed Kappa-Omega 765 KV Transmission Line. Fauna, Flora & Ecology Walk-Through Report. Specialist Report for ACER Africa. 2013.

**Infrastructure/Mining Developments:**

Thembaletu Upgraded Informal Settlement Project (UISP): Bulk Services Terrestrial Fauna & Flora Specialist Study For Basic Assessment. Cape EAPrac 2013.

Section 24G Application: Unauthorised Vegetation Clearing On Farm Klein Melkbosch No. 94, Blaauberg: Faunal Ecology Specialist Assessment Report. Doug Jeffery Environmental Consultants 2014.

Specialist Vegetation Assessment of the Steenkampskraal Monazite Mine and Adjacent Properties. SMM 2014.

Environmental Impact Assessment for the Proposed Putsberg Open Cast Mine Near Pofadder, Northern Cape. Fauna & Flora Specialist Report for EIA. Ecopartners 2013.

Proposed Establishment of the Gamsberg Zinc Mine, Concentrator Plant and Associated Infrastructure near the Town of Aggeneys, Northern Cape. Fauna & Flora Specialist Report for ESIA. ERM 2013.

Pella Water Board – Infrastructure Upgrade. Fauna & Flora Specialist Report for Basic Assessment. Environmental Resources Management 2012.

Transnet Manganese Ore Line Upgrade. Fauna & Flora Specialist Report for Basic Assessment. Environmental Resources Management 2012.

Proposed Vryburg Wastewater Treatment Works: Terrestrial Fauna & Flora Specialist Study for Basic Assessment. Endemic Vision 2013.

Proposed Mamatwane Compilation Yard, Northern Cape: Fauna & Flora Specialist Report for Impact Assessment. Environmental Resources Management 2013.

Rare Earth Separation Plant Near Vredendal, Western Cape Province. Fauna & Flora Specialist Report for Basic Assessment. Savannah Environmental 2012.

Improvements to the Ou Kaapse Weg / Silvermine Road Intersection. Specialist Faunal Study For Basic Assessment. Khula Environmental Consultants, 2012.

Upgrading of Tourism Facilities at Goegap Nature Reserve. Specialist Ecological Assesment. Van Zyl Environmental Consultants. 2012.

Plant Sweeps on Portion 2 of the Farm Demaneng 546, Kuruman District, Northern Cape Province for SA Manganese. 2011.

**Strategy/Conceptual Documents:**

Renewable Energy Sector Spatial Planning Tool: To Form Part of the NDM Green Economy Strategy. Conservation South Africa, 2013.

Terrestrial Environment: Characteristics and Categorization. Contribution to the development of standards for EIA processes on behalf of the DEA. Anchor Environmental 2012.

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## CURRICULUM VITAE – CHRIS VAN ROOYEN

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**Name of organisation:** Chris van Rooyen Consulting  
**Profession:** Ornithological Consultant  
**Position in Firm:** Director/Co-owner  
**Date of Birth:** 30 April 1964  
**Relevant Experience:** 17 years

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### SPECIALIST FIELD

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Ornithological consultant offering specialist advice related to the impact of industrial developments on avifauna, especially in the electricity energy sector.

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### TERTIARY EDUCATION

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1988	B.A. (Law)	Rand Afrikaans University
1991	LLB	Rand Afrikaans University

I work under the supervision of and in association with Albert Froneman (SACNASP Zoological Science Registration number 400177/09) as stipulated by the Natural Scientific Professions Act 27 of 2003.

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### KEY EXPERIENCE IN ELECTRICITY INDUSTRY

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#### WIND ENERGY SITES

- St Helena Bay, Seeland, Electrawind
- Caledon, Caledon Wind
- Caledon, Langhoogte, SAGIT
- Langebaan, Langfontein, Oelsner Group
- Darling, Kerrifontein Oelsner Group
- Jeffreys Bay, Mainstream
- Ubuntu, Windcurrent
- Bana ba pifhu, Windcurrent
- Coega, Electrawind
- Swellendam, Excelsior, Biotherm
- Vredendal, Inca Energy
- Vredendal, Electrawind
- Morreesburg, Swartberg, Electrawind
- Oyster Bay, Renewable Energies South Africa
- Laingsburg, Spitskopvlakte, Biotherm
- Port Nolloth, Kannikwavlakte, Biotherm
- Vleesbaai, Vleesbaai Independent Power Producer
- Loeriesfontein, Mainstream
- Noupoort, Mainstream
- Indwe, Biotherm
- Pofadder, Mainstream
- Namies, JUWI
- De Aar, Mulilo North
- De Aar, Mulilo South

#### SOLAR ENERGY SITES:

- Bokpoort, Concentrated Solar Thermal Power (CSP)
- Solar Park, Upington
- Mainstream De Aar PV
- Droogfontein (Kimberley) PV

#### POWER LINES:

- Chobe 33kV Distribution line
- Athene - Umfolozi 400kV
- Beta-Delphi 400kV
- Cape Strengthening Scheme 765kV
- Flurian-Louis-Trichardt 132kV
- Ghanzi 132kV (Botswana)
- Ikaros 400kV
- Matimba-Witkop 400kV
- Naboomspruit 132kV
- Tabor-Flurian 132kV
- Windhoek - Walvisbaai 220 kV (Namibia)
- Witkop-Overysseel 132kV
- Breyten 88kV
- Adis-Phoebus 400kV
- Dhuva-Janus 400kV
- Perseus-Mercury 400kV
- Gravelotte 132kV
- Ikaros 400 kV
- Khanye 132kV (Botswana)
- Moropule – Thamaga 220 kV (Botswana)
- Parys 132kV
- Simplon –Everest 132kV
- Tutuka-Alpha 400kV
- Simplon-Der Brochen 132kV
- Big Tree 132kV
- Mercury-Ferrum-Garona 400kV
- Pebble Rock 132kV
- Reddersburg 132kV
- Thaba Combine 132kV
- Nkomati 132kV
- Louis Trichardt – Musina 132kV
- Endicot 44kV
- Apollo Lepini 400kV
- Tarlton-Spring Farms 132kV
- Kuschke 132kV substation
- Bendstore 66kV Substation and associated lines
- Kuiseb 400kV (Namibia)
- Gyani-Malamulele 132kV
- Watershed 132kV
- Bakone 132kV substation
- Eerstegoud 132kV LILO lines
- Kumba Iron Ore: SWEP - Relocation of Infrastructure
- Kudu Gas Power Station: Associated power lines
- Steenberg Booyseendal 132kV
- Toulon Pumps 33kV
- Thabatshipi 132kV
- Witkop-Silica 132kV
- Bakubung 132kV
- Nelsriver 132kV
- Rethabiseng 132kV
- Tiilburg 132kV
- and LILO lines
- Styltdrift 132kV
- Taunus – Diepkloof 132kV
- Bighorn NDP 132kV
- Waterkloof 88kV
- Camden – Theta 765kV
- Dhuva – Minerva 400kV Diversion
- Lesedi –Grootpan 132kV
- Waterberg NDP
- Bulgerivier – Dorset 132kV
- Bulgerivier – Toulon 132kV
- Nokeng-Fluorspar 132kV
- Mantsole 132kV
- Tshilamba 132kV
- Thabamooop - Tshebela – Nhlovuko 132kV
- Arthurseat 132kV
- Borutho 132kV MTS
- Grootboom 132kV
- DWAF Steelpoort 132kV
- Chloe – Gilead 66kV
- Pietersburg – Chloe 66kV
- Tshatane – Lesideng 132kV
- Lesego – Jane Furse 132kV
- DWAF 1 – DWAF 2 132kV
- Pitso 132kV Substation
- Lebowa – Dithabaneng – Boynton LILO 132kV



- Zeus-Perseus 765kV
- Matimba B Integration Project
- Caprivi 350kV DC (Namibia)
- Gerus-Mururani Gate 350kV DC (Namibia)
- Mmamabula 220kV (Botswana)
- Steenberg-Der Brochen 132kV
- Venetia-Paradise T 132kV
- Burgersfort 132kV
- Majuba-Umfolozi 765kV
- Delta 765kV Substation
- Braamhoek 22kV
- Steelpoort Merensky 400kV
- Mmamabula Delta 400kV
- Delta Epsilon 765kV
- Gerus-Zambezi 350kV DC Interconnector: Review of proposed avian mitigation measures for the Okavango and Kwando River crossings
- Giyani 22kV Distribution line
- Lihobong-Kao 132/11kV distribution power line, Lesotho
- 132kV Leslie – Wildebeest distribution line
- A proposed new 50 kV Spoornet feeder line between Sishen and Saldanha
- Cairns 132kv substation extension and associated power lines
- Pimlico 132kv substation extension and associated power lines
- Gyani 22kV
- Matafin 132kV
- Nkomazi\_Fig Tree 132kV
- GaKgapanne 66kV
- Knobel Gilead 132kV
- Bochum Knobel 132kV
- Madibeng 132kV
- Witbank Railway Line and associated infrastructure
- Spencer NDP phase 2 (5 lines)
- Akanani 132kV
- Hermes-Dominion Reefs 132kV
- Cape Pensinsula Strengthening Project 400kV
- Magalakwena 132kV
- Benfiosa 132kV
- Dithabaneng 132kV
- Taunus Diepkloof 132kV
- Taunus Doornkop 132kV
- Tweedracht 132kV
- Jane Furse 132kV
- Majeje Sub 132kV
- Tabor Louis Trichardt 132kV
- Riversong 88kV
- Mamatsekele 132kV
- Kabokweni 132kV
- MDPP 400kV Botswana
- Marble Hall NDP 132kV
- Bokmakiere 132kV Substation
- Thulamela 132kV
- Marang 132kV
- Thulamela 132kV
- Merensky 132kV
- Amandla – Makometsane - Moutse 132kV
- Lebathlane 132kV
- Sun City Substation and associated powerlines
- Solar Park 400kV Integration Project
- Mamatsekele 132kV
- KwaMhlanga 132kV
- Malelane – Buffelspruit 132kV
- Gutshwa 132kV
- Taung-Gold 88kV
- Bredasdorp 66kV
- Vaalkop Dam 88kV
- Freedom Park 88kV
- Winterveld 132kV
- Ohrigstad – Phiring – Lemara 132kV
- Blouwater – Uiekraal 66kV
- Houhoek 400kV substation and LILO lines
- Zandfontein – Carmona 88kV
- Bracken – Roscco 88kV
- Victor 132kV
- Gamma – Kappa 765kV
- Kappa – Omega – Aurora 765kV

#### POWER STATIONS:

- Open Cycle Gas Turbine Plants & The Associated Transmission Lines & Substation At Atlantis, Western Cape
- Kangra Power Station: Siting Report

#### OTHER PROJECTS:

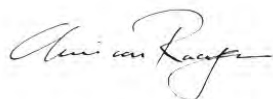
- Lizard Point Golf Estate
- Lever Creek Estates
- Leloko Lifestyle Estates
- Vaalowers Residential Development
- Clearwater Estates Grass Owl Impact Study
- Somerset Ext. Grass Owl Study
- Proposed Three Diamonds Trading Mining Project (Portion 9 and 15 of the Farm Blesbokfontein)
- N17 Section: Springs To Leandra –“Borrow Pit 12 And Access Road On (Section 9, 6 And 28 Of The Farm Winterhoek 314 Ir)
- South African Police Services Gauteng Radio Communication System: Portion 136 Of The Farm 528 Jq, Lindley.
- Report for the proposed upgrade and extension of the Zeekoegat Wastewater Treatment Works, Gauteng.
- Bird Impact Assessment for Portion 265 (a portion of Portion 163) of the farm Rietfontein 189-JR, Gauteng.
- Bird Impact Assessment Study for Portions 54 and 55 of the Farm Zwartkop 525 JQ, Gauteng.
- Bird Impact Assessment Study Portions 8 and 36 of the Farm Nooitgedacht 534 JQ, Gauteng.
- Shumba’s Rest Bird Impact Assessment Study
- Randfontein Golf Estate Bird Impact Assessment Study
- Ziikaatsnek Wildlife Estate
- Regenstein Communications Tower (Namibia)
- Input into Richards Bay Comparative Risk Assessment Study
- Maquasa West Open Cast Coal Mine
- Glen Erasmia Residential Development, Kempton Park, Gauteng
- Bird Impact Assessment Study, Weltevreden Mine, Mpumalanga
- Bird Impact Assessment Study, Olifantsvlei Cemetery, Johannesburg
- Camden Ash Disposal Facility, Mpumalanga
- Proposed Desalination Project at Mile 6 near Swakopmund, Namibia

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#### CERTIFICATION

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe my qualifications and experience.

Date: 17 July 2014



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# Nicolene Venter



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<b>Name of firm</b>	<b>Zitholele Consulting</b>
<b>Profession</b>	<b>Senior Public Participation Practitioner</b>
<b>Specialisation</b>	<b>Public Participation</b>
<b>No. of years with firm</b>	<b>2 months</b>
<b>Nationality</b>	<b>South African, ID No. 600421 0065 088</b>

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**Key Experience**

Nicolene has over the past 15 years established herself as an experienced and well recognized public participation practitioner, facilitator and strategic reviewer. She has project managed several high profile public participation projects and excels in not only stakeholder engagements but with humility for street level consultation. Nicolene first formed her own consultancy business in 1997 and joined SiVEST in October 2007, and returned to her own consultancy business in October 2011. She lead public participation and stakeholder engagement projects with insightful strategic thinking to ensure the delivery of highly professional and a target orientated public participation process to her clients as the project dictates. She also has sound knowledge of the Equator Principles especially in terms of the Public Participation Process required for projects that are funded internationally. Nicolene's skills base also includes the facilitation of workshops, public and focus group meetings. As the Public Participation Practitioner, her proven leadership skills ensures the managing, development and motivation of the public participation team to achieve project objectives and to maintain high quality standards.

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## Professional Registrations

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<b>Education</b>	International Association for Public Practitioners (IAP2) (Modules 1 and 2)	IAPP	2009
	Diploma in Public Relations	Public Relations Institute of South Africa	1989
	Higher Secretarial Diploma	Pretoria Technikon	1979

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## Employment Record

2013 - Present	Zitholele Consulting	Public Participation
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## Project Experience

### Mining Projects

Proposed AK6 Diamond Mine	Boteti, Botswana
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Drafting of the Community Consultation Plan for inclusion in the Closure Plan for the updated Environmental Management Plan

## **Power Plants**

### **Zimbabwe Ethenol Plant**

**Zimbabwe**

Consultation process undertaken for the proposed construction of an ethanol plant in Chisumbanje, Middle Sabie, Zimbabwe in terms of the Zimbabwe's Environmental Management Agency (EMA). Not only did consultation take place with Government Officials, but an intensive consultation process has taken place with the local community.

### **EIA: Hendrina Ash Dam Expansion**

**Mpumalanga Province, South Africa**

Expansion of Eskom's Hendrina Power Station's Ash Dam Facilities at Pullenshope, Mpumalanga Province

### **EIA: Wind farms and/or Solar Energy Facilities**

**Northern Cape Province, South Africa**

Proposed construction of wind farms and/or solar energy facilities as proposed by Mainstream Renewable Power South Africa, Northern Cape Province.

### **Basic Environmental Assessment: Grootvlei Power Station**

**Mpumalanga Province, South Africa**

Proposed installation of an additional 500M3 bulk storage fuel tank at Eskom's Grootvlei power Station, Mpumalanga Province

### **EIA: Solar Energy Facility**

**Kimberly, South Africa**

(Droogfontein, Kimberley; Kaalplats, Loeriesfontein; Paarde Valley, De Aar). The proposed construction of Concentrating Solar Plants (CSP) and Concentrating/Photovoltaic (CPV/PV) Plants as proposed by Mainstream Renewable Power South Africa in the Northern Cape Province.

## **Linear Infrastructure**

### **EIA: Aggeneis-Oranjemond**

**Northern Cape Province, South Africa**

Proposed construction of a new 400kV Eskom Transmission Power Line between Aggeneys and Oranjemond, and the expansion of the Aggeneis and Oranjemond Transmission Substations, Northern Cape Province

### **Impact Phase of EIA: Invubu-Theta**

**KwaZulu Natal, South Africa**

Proposed construction of a double circuit 400kV Eskom Transmission Power Line between Richards Bay and Empangeni, KwaZulu-Natal Province

### **Basic Environmental Assessment: Westrand**

**Gauteng Province, South Africa**

Proposed construction of a 400kV Eskom Transmission Power Line between Eskom's existing Westrand and Hera Substations, Gauteng Province.

### **EIA: Mookodi Integration Project**

**North-West Province, South Africa**

Proposed improvement of Eskom's electricity supply network around the Vryburg and Stella, and to supply the proposed Kalplats Mine with electricity, North-West Province.

### **EIA: Transnet Coallink**

**KwaZulu Natal & Mpumalanga, South Africa**

Transnet's coallink upgrade project from Ermelo to Richard's Bay - Class Application for a number of Basic Assessments and Environmental Impact Assessments (5 Applications), Mpumalanga and KwaZulu-Natal Provinces

### **EIA: Thyspunt Transmission lines Integration Project**

**Eastern Cape Province, South Africa**

Proposed construction of 5 x 400kV Eskom Transmission power lines between Thyspunt (near Oyster Bay) to Port Elizabeth – 180km in length (Eskom's existing Grassridge & Dedisa Transmission Substations), Port Elizabeth, Eastern Cape Province

### **EIA: Delarey-Kopela-Phahameng**

**South Africa**

Proposed construction of an Eskom Distribution power line from Delareyville past Kopela to Madibogo.

### **Basic Environmental Assessment: Malelane Substation**

**Mpumalanga Province, South Africa**

Proposed Construction of a New Malelane Substation and the Proposed Construction of a New Komatipoort-Marathon 275kV Eskom Transmission Power Line Turn-In of approximately 1.5km, Malelane, Mpumalanga Province

### **Other**

#### **Miwani Sugar Mill**

#### **Kenya**

Consultation process undertaken, under the National Environment Management Authority (NEMA) of Kenya, with the assistance of local specialists (Kenya Marine and Fisheries Research Institute) for the proposed construction of a sugar mill in Miwani, Nyanza Province in terms of Kenya's.

#### **EIA: Middelburg Water Treatment Plant**

#### **Mpumalanga Province, South Africa**

Water reclamation scheme for BHP Billiton Energy Coal South Africa (BECSA) in the Witbank / Middelburg area, Mpumalanga Province

Strategic Management and Review of Stakeholder Engagement Process were also conducted for a number of EIAs / BAs and the completion of Stakeholder Engagement Process between 1997 to September 2007 is available on request

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#### ***Facilitation responsibility only:***

- Environmental Management Plan for Prospecting Right Application Process (Client: Oresund Environmental Solutions): August 2010 and September 2010
- Ariadne-Eros 400kV/132kV Multi-Circuit Transmission Power Line: July 2009 and March 2010 (Client: Acer Africa)
- Middelburg SmancorCR Chemical Plant (Client: Environmental Science Associates) – Public Meeting: October 2007
- Majuba-Venus 765kV Transmission Power Lines (Client: Acer Africa) – Public Meetings: July 2008 and March 2010

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#### **Papers, publications and presentations**

None

# Keagan Allan

## Senior Scientist



<b>Profession</b>	Senior Scientist & GIS Specialist
<b>Education</b>	BSc Geographical Science – 2003 BSc (Hons) Geographical Science and Environmental Management – 2004 MSc Geographical Science (Cum Laude) – 2007
<b>Registrations/ Affiliations</b>	Registered Professional Natural Scientist (Pr.Sci.Nat), South African Council for Natural Scientific Professions (SACNASP), 400185/13 IAIA South Africa
<b>Awards</b>	Won Best Poster at the 2010 IAIAAsa Conference – Poster Applications of GIS in EMF.

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**Specialisation** Geographical Information Systems and Remote Sensing

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**Expertise** Keagan Allan has been involved in the field of Geographical Information Systems (GIS) for the past 8 years. His expertise includes:

- Geographical Information Systems (GIS), more specifically data collection and manipulation; modelling of various spatial data for Visual Impact Assessments and Ground Water management and database management.
- Visual Impact Assessment Specialist – using GIS and modelling to conduct Visual Impact Assessments (VIAs) for large scale mining and industrial developments.
- GIS Development – using Visual Basic scripting to develop tools for use within the ESRI ArcMap environment.
- GIS in Environmental Management Frameworks – using Visual Basic in conjunction with GIS techniques to generate information for use in the GIS reporting in an EMF study.
- Remote Sensing (RS) more specifically the use of remotely sensed images in the classification of various land use types.

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## Employment

<b>Jul 2008 – Present</b>	SRK Consulting, Environmental Scientist, Westville
<b>Feb 2008 – Jun 2008</b>	Haley Sharpe, Assistant Tourism Planner, Southern Africa
<b>Feb 2007 – Aug 2007</b>	UKZN, Cartographic Technician, Pietermaritzburg

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**Languages** English – read, write, speak  
Afrikaans – read, write, speak

## Publications

1. ALLAN, K., EMANUAL, P., and MORRIS, J. (2010) Poster Presentation: Applications of GIS in EMF, IAIAAsa Conference, Pretoria, August, 2010.
2. ALLAN, K. (2015) Paper Presentation: Environmental Management in the 21st Century: Combining Environmental Processes and GIS Technologies, IAIAAsa Conference, KwaZulu-Natal, August 2015.

# Curriculum Vitae: **Michiel Jonker**

<b>Name:</b>	Michiel Jonker	<b>Marital status:</b>	Single
<b>Date of birth:</b>	25/05/1984	<b>Driver's license:</b>	Code 8
<b>ID No.:</b>	840525 5110 085	<b>Contact No:</b>	084 585 7479
<b>Place of birth:</b>	Johannesburg, South Africa	<b>Email:</b>	michiel@ecotone-sa.co.za
<b>Postal address:</b>	PO Box 84 Florida, Johannesburg, South Africa, 1710		
<b>Experience:</b>	10 Years		

## Education

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### University of Johannesburg

**2011 M. Sc (Environmental Management)**

This is a lectured Masters degree focussing on the concepts and principles of environmental management. The MSc. includes three modules: (1) Environmental management, biosphere and the environment. (2) Environmental management skills and (3) A mini dissertation in related field works.

**2009 M.Sc (Aquatic Health) *cum laude***

This Masters study has an ecotoxicological basis. It deals with the effects of androgenic and estrogenic growth-promoting hormones, used in cattle feeding lots, on aquatic freshwater ecosystems. It aims to incorporate biomarkers in fish (metabolomics and cellular energy allocation) as well as studies of general water quality, sediment composition and invertebrate community structures

**2006 B.Sc Honours (Zoology) *cum laude***

**Related course work:** Laboratory and field skills, Philosophy and research methodology, population genetics, project management, mammal diversity, eco-physiology, parasite ecology, ichthyology, research project, biological systems integrity, terrestrial ecology, nature conservation.

**2005 B.Sc (Natural and Environmental Sciences)**

Majors: Geography and Zoology

Minors: Environmental management, botany, chemistry, environmental chemistry, biogeochemistry, statistics, information science

**Related course work:** Cartography, biogeography, soil science, climatology and geomorphology, economic and urban geography, GIS, Geography of Africa and South Africa, invertebrate and vertebrate diversity, parasitology, ecotoxicology, terrestrial ecology and limnology, animal physiology, economic and ethno-botany, plant diversity, plant-water relations, organic and physical chemistry.

## Employment and Work Experience

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Feb '08 – Pres      **Ecotone Freshwater Consultants CC**  
**Member and Freshwater Ecologist**

Recent projects:

- **Joule Africa**, Augmentation of the Ecological Flow Assessment associated with the Selli/Rokel hydroelectrical scheme, Yiben Sierra Leone (May-September 2017).
- **Enel**, Wetland assessment and Water Use Licensing for a proposed 40MW photo voltaic power plant. Southdeep, Westonia (May 2017 – Present).
- **JG Africa / Eskom**, wetland and sediment monitoring associated with ongoing construction at Kusile Power Station. Ogies Mpumalanga (January 2017 to Present).
- **Maseve Platinum Mine**, aquatic biomonitoring of mining operations on the Elands River and tributaries. Ledig North West (February – July 2017).
- **ERM / IFC**, Alternative hydropower assessment for the Kouilou Niari Catchment in Congo Brazzaville (baseline data collection for instream aquatic communities on a national scale) February 2017).
- **ESKOM / EIMS – Arnot Power Station**, Wetland Specialist report - Integrated Environmental Impact Assessment Process (Waste Management License Application, Environmental Authorisation Application And Associated Environmental Management Programme) and Water Use License Application For The New Ash Disposal Facility at Arnot Power Station In Mpumalanga (August 2016-Present).
- **Imperata / AHTech** Aquatic assessment of the Moreletaspruit associated with the Menlyn diesel spill (October 2016).
- **ERM** Environmental Flow assessment, Yiben Dam Project, Sierra Leone (July 2016).
- **SMD / EIMS** aquatic ecology and impact assessment - Scoping and EIA/EMP Report for the proposed expansion of the Kao Diamond Mine, Lesotho (May 2016).
- **Vaalbult Colliery** aquatic specialist assessment, proposed road crossing, Carolina, Mpumalanga (February 2016 – Present).
- **EkolInfo** aquatic biomonitoring plan and implementation for the Elands River associated with the Maseve mining operations near Sun City, in the North West Province, (January 2016- present).
- **Exxaro**, Zonderwater Coal Proposal, Wetland Specialist Assessment (November 2013 – April 2016).
- **Dyambyini / ESKOM – Hendrina Power Station**, wetland and aquatic ecology assessment, management and biomonitoring plan for Water Use Licence Authorisation for the Proposed expansion of the Hendrina Ash Disposal Facility and related Power Line infrastructure (March 2016).
- **Delta Mining** wetland assessment and watercourse management plan for mining operations associated with the Proposed Rietkuil operations. Rietkuil, Delmas, Mpumalanga (February 2016).
- **SLR Consulting-** Biodiversity assessment, management and biomonitoring plan for the proposed expansion of the Holfontein Toxic Waste Disposal Facility, Gauteng (January 2016).
- **Enviroolutions (Eskom)** Pre-, during- and post construction biomonitoring for pylon constructions crossing smaller tributaries of the Vaal River, Vereeniging, Gauteng (January 2015- present).
- **WPC** Ngonye Falls- 52 MW Hydroelectric Power Plant. Baseline biodiversity study and Environmental Flow Assessment, Zambia (October 2015 to present).
- **Ara-sul** Aquatic baseline assessment of the Sabie River, up- and downstream of Corumana Dam, Kruger National Park and Mozambique (November 2015 to January 2016).



- **EcoGain** Wetland and Impact assessment associated with the proposed Opencast Mining Operation, Delmas (October 2015 to present).
- **Enviroolutions** Water quality Assessment, Broadacres Retirement Village, Broadacres Gauteng Province (November 2015).
- **ERM, Ncondezi Coal Mine**, Freshwater Ecology baseline study and Desktop Environmental Flow Assessment, Tete, Mozambique (November 2014 – May 2015).
- Hydrological Alteration-Aquatic Ecology Assessment-**New Largo** (July 2010 - Present).
- **Goliath Gold** Aquatic and impact assessment associated with the proposed de-water of a mine shaft, Heidelberg, Gauteng (January – May 2015).
- **Zambezi River Authority**, Kariba Dam wall upgrade, Freshwater Ecology baseline, impact assessment and Environmental Flow Assessment, Zambia/Zimbabwe (October 2014 - March 2015)
- **Dyambyini / ESKOM - Majuba Power Station**, Wetland Specialist Assessment (December - January 2015).
- **Doogvallei Rail Siding Company (Pty) Ltd**, Aquatic Biomonitoring Assessment of associated drainage lines, Carolina Mpumalanga (September 2012 – January 2015).
- **Pembani Coal**: Aquatic Biomonitoring Assessment, Carolina (March 2012 –January 2015).
- **Kumba Iron Ore**, Wetland and River study for WULa, Thabazimbi, Limpopo (December 2014).
- **FFMES, Cominco Phosphate Mine**, Hinda Project Freshwater Baseline Study and critical habitat assessment, Republic of Congo (March to August 2014).
- **Lidwala**, Majuba Wetland Rehabilitation Proposal, Wetland Specialist Assessment (March-July 2014).
- **Imperata**, NKP Terminal 2, Wetland Monitoring Assessment (June – July 2014).
- **Jeffars and Green**, Thabong Interchange, Wetland Rehabilitation Plan (June 2014).
- **Envirobility**, Sand Quarry, Diepsloot, Wetland Specialist Assessment (March 2014 – May 2014).
- **Lidwala / ESKOM - Majuba Power Station**, Wetland Assessment Augmentation, Wetland Specialist Assessment (April 2014).
- **WSP, Kathu CSP Project**, Northern Cape, Wetland Specialist Assessment (January 2014 – April 2014).
- **ERM, Mulungushi Hydropower Project**, Aquatic Specialist (February, 2013).
- **ERM, Muchinga Hydropower Stations**, Aquatic Specialist, Zambia (April, 2013).
- **FFMES, Exxaro DMC Iron Congo Project**, Aquatic specialist study, Mayoko, Republic of Congo (September 2012).
- **ERM, Sasol Twistdraai Export Plant**, Wetland Specialist Assessment (November 2013 – May 2014).
- **GladAfrica, Centurion Lake Sediment Trap**, Aquatic Specialist Study, Gauteng, South Africa (November, 2012).
- **MSA, Meyerton Waste Water Treatment Works Upgrade**, Aquatic Specialist Study, Gauteng, South Africa (November 2012).
- **ESKOM, Majuba Ash Disposal Facility**, Wetland Specialist Study for the Scoping/EIA, Mpumalanga, South Africa (September, 2012).
- **ESKOM, Tutuka Ash Disposal Facility**, Wetland Specialist Study for the EIA, Mpumalanga, South Africa (September, 2012).
- **FFMES, Sintoukola Project**, Aquatic specialist study, Republic of Congo (May 2012; July 2012).
- **Coffey Environments, Tete Iron Project**, Aquatic specialist study of the Revuboe River, Chiúta and Moatize districts, Tete, Mozambique (March 2012).
- **Shanduka Coal**, wetland and impact assessment for a proposed 400kV line relocation, Middleburg, Mpumalanga (April, 2012).

- **Worldwide Coal Carolina**, aquatic biomonitoring assessment, Carolina, Mpumalanga (March, 2012).
- **Homeland Mining and Energy SA**, proposed Eloff Opencast Mine, specialist wetland assessment ( $\pm$  1400 ha) just outside the town of Delmas, Mpumalanga (February, 2012).
- **Exxaro MagVanTi Project** -Aquatic Ecology Baseline Study, Limpopo (January, 2012).
- **Shanduka Coal**, wetland and impact assessment of a pan located in the Graspan Colliery, Middleburg, Mpumalanga (January, 2012).
- **African Barrick Gold North Mata Mine** - Aquatic Consultant: Ecotoxicological risk assessment for discharge of treated waste water into the Mara River, North Mara, Tanzania (August, 2011).
- **Moamba Dam Project, Moamba, Mozambique**, Aquatic Consultant- Impacto: Aquatic ecology assessment for proposed (July, 2011).
- Fresh water Ecology **scoping study-Hendrina-Mpumalanga**( May 2011)
- Aquatic Biomonitoring Assessment-Blesbokspruit- **Hydro Testing** (May 2011)
- Aquatic Consultant- Lidwala environmental and engineering consultants: Sanral N14 river/stream crossing aquatic assessment (May 2011).
- Aquatic Consultant- Randwater: Proposed water and treated water residue pipeline near **Lethabo power station** in Vereeniging (May 2011).
- Aquatic Consultant- Anglo Coal: Assessment on non-perennial drainage lines associated with proposed coal mining development near All days in Limpopo (May, 2011).
- Hydro Testing Biomonitoring(KP290+100) **KwaZulu-Natal- Aquatic Ecology Assessment** (February 2011)
- Aquatic Consultant- Riversdale: Aquatic specialists on the **Benga Coal Project**, Tete, Mozambique (January, 2011).
- Aquatic Consultant- Transnet: Aquatic biomonitoring - **Ladysmith pump station oil spill**, Ladysmith, Natal (January, 2011).
- Aquatic Consultant – Imperata – Aquatic assessment for a proposed **Rand Water pipeline** crossing over the Pienaars River near Pretoria (May, 2010).
- Aquatic Consultant – Ekoinfo – Aquatic assessment for a **NuCoal mine** (Vuna colliery) near Middelburg Mpumalanga (March 2010- Current)
- Aquatic Consultant – EcoAgent – A MSA project – Detailed Aquatic assessment for the proposed **Veremo Magnetite mine** in the Eastern Bushveld near Stofberg Mpumalanga (May 2010)
- Aquatic Consultant – New Multi Purpose Pipeline (NMPP) a combined Transnet, **Group Five and Spiecapag project** –Aquatic assessment and monitoring of associated river crossings in the Upper Vaal, Thukela and Mvoti Water Management Areas (October 2009- Current).
- Aquatic Consultant – **Intergraded Landscape Architects** – Raslouw Riparian delineation and aquatic assessment, Johannesburg (November 2009).
- Aquatic Consultant – Ekoinfo – **Klipriviersberg** Full Aquatic assessment (January. 2009)
- Aquatic Consultant – Ekoinfo – **Lonmin** Aquatic biodiversity assessment (January 2009).
- Aquatic Consultant – NSS– Optimum **Coal Fish** diversity assessment (March 2009)
- Aquatic Consultant –NSS – **Rio Tinto Chapudi** proposed coal mine diversity assessment (March 2009).
- Aquatic Consultant – **Lonmin platinum-** aquatic biodiversity assessment and action plan (January, 2009).
- Aquatic Consultant – **SASOL** – aquatic ecosystem impact assessment for proposed pipeline development (January 2009).
- Aquatic Consultant – Arcus Gibb - Aquatic biodiversity assessment for proposed coal **Eskom Mulilo coal mining development** (December 2008).
- Aquatic Consultant – **ESKOM** - Biomonitoring for proposed **Majuba railroad construction** for Eskom (October 2008- current).

Feb 07 – Jan 08

**EnviRoss Environmental Scientific Consultants Cc  
Consultant**

- Junior Scientist – Enviross cc - Aquatic macro-invertebrate biodiversity study for proposed feedlot **Mpumalanga** 2007. (November 2007)
- Junior Scientist – Enviross cc - **Tshwane** sewerage works bio-monitoring. (September 2007).
- Junior Scientist – Econ@uj - Ecological state of five estuaries in the **Wild coast** for proposed heavy mineral mining (October 2007).
- Aquatic Consultant – Ekoinfo - Aquatic ecological assessment for proposed golf course development in **North West province for Sun City** (August 2007).
- Junior Scientist – Enviross cc - Firgrove industrial development in **Somerset West** 2007 (July 2007) 2007.
- Junior Scientist – Enviross cc - Aquatic health determination and eco-classification for **ANGLO coal** (Mpumalanga) in 2007 (2007).
- Junior Scientist – Econ@uj - Aquatic health determination and eco-classification for **TOTAL coal** in 2006 (May 2006).
- Junior Scientist – Econ@uj - Aquatic health and fish diversity assessment at **Klipplaat nature reserve**, 2006 (September 2006).
- Technical Assistant - **University of Johannesburg Zoology department** - Aquatic health and biodiversity of the **Crocodile West Marico and Magaliesburg system**, 2007 (February 2007).
- Technical Assistant – Enviross cc - **Owl surveys** (March 2007).
- Project Manager - University of Johannesburg Zoology department - Aquatic health and biodiversity of **lake Chrissie in Mpumalanga**, 2007 (April 2007)
- Technical Assistant - University of Johannesburg Zoology department - PhD study regarding effects of pesticides on the freshwater aquatic health in the **Levubu River in Venda (Limpopo Province)** (February 2008)
- Researcher - University of Johannesburg Zoology department - Presented poster at Zoological society South Africa (ZSSA) in July 2007: Abiotic factors influencing invertebrate community structures in pan and dams in the **Mpumalanga highveld area** (June 2007)

## Workshops and Courses

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- 2011**      **Tools for Wetland Assessment Short Course**  
Department of Environmental Science Rhodes University;  
Grahamstown Port Elizabeth
- 2009**      **Environmental Management Systems –WTH Management and Training**  
ISO 14001, OHSAS 18001 and development of Environmental Management Systems, University of  
Johannesburg, Auckland Park, Johannesburg
- 2008**      **Wetland and Riparian Delineation Course**  
Accredited wetland delineator  
Wetland Consulting Services and Department of Water Affairs and Forestry (DWAF)  
Pretoria, South Africa.
- 2008**      **Skippers Course**  
License Holder of a Category “R” skippers license
- 2007**      **SASS5 Accredited Practitioner**  
Auditors: Christa Thirion (DWAF, RQS), Colleen Todd (DWAF, RQS) and Hermien Roux  
(North West Nature Conservation).
- 2007**      **Multivariate Statistics Training**  
Collaboration between Wageningen University (Holland) and University of Johannesburg, UJ  
Eiland, Vaal Dam
- 2006**      **Advanced 4x4 driving course**

## Societies and Accreditations

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- 2009**      **The South African Council for Natural Scientific Professions (SACNASP)**  
Professional Natural Scientist  
*Pr. Sci. Nat.* (Aquatic Health, Zoological & Ecological Sciences)  
Registration number: 400275/12
- 2009**      **Member of the International Association of Impact Assessment-SA (IAIA SA).**
- 2006**      **Member of the Zoological Society of Southern Africa (ZSSA)**
- 2006**      **Member of the Southern African Society of Aquatic Scientists (SASAqS)**

## Presentations

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- Jun 2010**      **South African Society of Aquatic Scientists (SASAqS) Congress**  
MN Jonker, G. Walsh & JHJ van Vuren  
*Creating Management Thresholds for Fish Communities Exposed to the Effects of Coal Mining in  
the Mpumalanga Highveld.*
- Oct 2009**      **Department of Geography and Energy studies, University of Johannesburg**  
MN Jonker, M Sherwood and R Rowles. 2009.

*Historical overview of water quality associated with the Blesbokspruit RAMSAR site. Syndicate project completed in partial fulfillment of M.Sc (Environmental Management).*

Jul 2007

**Zoological Society of Southern Africa Conference, Potchefstroom.**

MN Jonker

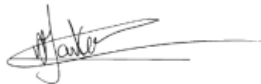
*Differences in invertebrate community structures associated with pans and dams in the Mpumalanga Highveld, South Africa.*

## Publications

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1. Van der Zee, J., Walsh, G., Sonnenberg, R., Alexandre, M. & Jonker, M.N. (*in press*). A description of three new co-occurring *Aphyosemion* species (Cyprinodontiformes: Nothobranchiidae) from Lower Guinea, with notes on habitat partitioning and allopatric speciation. *Zootaxa*.
2. Walsh, G., Jonker, M. & Mamonekene, V. (2014). A collection of fishes from tributaries of the lower Kouilou, Noubi and smaller coastal basin systems, Republic of the Congo, Lower Guinea, west-central Africa.  
*Checklist Journal* **10 (4)**: 900 - 912.
3. Jonker, M.N., Van Vuren, J.H.J & Wepener, V. (2009). The impact of feedlot effluent on water quality and aquatic macroinvertebrate community structure in streams of the upper Vaal River catchment, South Africa. *African Journal of Aquatic Science* **34 (3)**.
4. De Jager, C., Swemmer, A., Aneck-Hahn, N.H., van Zijl, C., van Wyk, S., Bornman, M.S., Barnhoorn, I.E.J., Jonker M., van Vuren, J.H.J. & Burger, A.E.C. (2010). Endocrine Disrupting Chemical (EDC) Activity and Health Affects of Identified Veterinary Growth Stimulants in Surface and Ground Water. WRC report no. K5-1686. Pretoria, South Africa.

I, Michiel Jonker, do hereby declare that all the information furnished above is true to the best of my knowledge.



**Michiel Jonker**

MSc (Aquatic Health) UJ

MSc (Environmental Management) UJ

Pr. Sci. Nat.

Freshwater Ecologist

**M** +27 84 585 7479

**T** +27 11 672 1375

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[michiel@ecotone-sa.co.za](mailto:michiel@ecotone-sa.co.za)

[www.ecotone-sa.co.za](http://www.ecotone-sa.co.za)

# Zimkita Nkata

Date of Birth: 06 September 1993  
Profession: Development Economist  
Specialisation: Sustainable Development Specialist  
Nationality: South African  
Years of Experience: 1 year  
HDI Status: Black Female



## Education:

Rhodes University - 2015	BSc Hons (Environmental Science)
Rhodes University - 2014	BSc (Environmental Science, Economics)

## Professional Membership:

SAPOA Urban-Econ Development Economists (Pty) Ltd

Language Proficiency:	Reading	Writing	Speaking
English	Excellent	Excellent	Excellent
Afrikaans	Excellent	Fair	Basic
isiXhosa	Excellent	Excellent	Excellent
isiZulu	Excellent	Excellent	Excellent

## Work Experience:

September 2016- Current	Urban-Econ Development Economists
April 2016 - August 2016	Council for Scientific & Industrial Research (CSIR)

## Key Qualification:

**Zimkita Nkata** completed her BSc degree, at Rhodes University in 2014 specialising in Environmental Science and Economics. She then went on to completing her BScHons in Environmental Science at the same institution. Courses completed during the Hons degree include Environmental Economics, Climate Change Adaptation, Environmental Impact Assessment (EIA) as well as Community-based Natural Resource Management (CBNRM). During her Hons year, the topic of her mini dissertation was *Coping with past and present extreme weather events: A case study of response strategies amongst residents of urban informal settlements in East London*. After completion of her Hons degree, she began working as a Waste Research, development & Innovation Intern at the Council for Scientific & Industrial Research (CSIR-Pta). At this job most of her work entailed a project management and overseeing role over waste management related grant projects. She has been part of various projects during her experience at CSIR such as:

- Africa Waste Management Outlook
- A decision support tool for implementing Municipal Waste Separation at source (S@S)
- An analysis of the South African recycling industry and its' importance

Currently, Zimkita is now working as a Junior Development Economist at Urban-Econ where she is improving her experience in the Economics environment.

## Experience Record:

Project:	940 MW Leeuweberg Wind Farm Scoping, Basic Assessment (BA) & Socio-Economic Impact Assessment (SEIA)
Year:	2016
Location:	Loeriesfontein, Northern Cape, South Africa
Client:	SIVEST, Environmental Division
Position held:	Junior Researcher
Project:	225 MW Kloofsig Solar PV Socio-Economic Impact Assessment (SEIA)

<b>Year:</b>	2016
<b>Location:</b>	Petrusville, Northern Cape, South Africa
<b>Client:</b>	SRK Consulting
<b>Position held:</b>	Junior Researcher
<b>Project:</b>	<b>600 MW H2 Energy Scoping and Socio-Economic Impact Assessment Study</b>
<b>Year:</b>	2016/17
<b>Location:</b>	KwaMhlanga, Mpumalanga, South Africa
<b>Client:</b>	Savannah Environmental
<b>Position held:</b>	Junior Researcher
<b>Project:</b>	<b>Feasibility Study on Biogas Feedstock Availability and Characterization</b>
<b>Year:</b>	2017
<b>Location:</b>	Pretoria, Gauteng, South Africa
<b>Client:</b>	Council for Scientific & Industrial Research
<b>Position held:</b>	Junior Researcher
<b>Project:</b>	<b>Mali Organic Fertilizer: Pre-Feasibility Study</b>
<b>Year:</b>	2016/17
<b>Location:</b>	Mali, West Africa
<b>Client:</b>	Growth Synergy
<b>Position held:</b>	Junior Researcher
<b>Project:</b>	<b>Evaluation and Benchmarking of NRCS Funding Structure used for Regulating the market for energy efficiency of electro-technical products</b>
<b>Year:</b>	2017
<b>Location:</b>	Pretoria, Gauteng, South Africa
<b>Client:</b>	South African Bureau of Standards (SABS)
<b>Position held:</b>	Junior Researcher
<b>Project:</b>	<b>Eastern Cape Renewable Energy Independent Power Producer Procurement Programme SMME Study</b>
<b>Year:</b>	2017
<b>Location:</b>	Blue Crane and Kouga Local Municipality, Eastern Cape, South Africa
<b>Client:</b>	Eastern Cape Department of Economic Development, Tourism and Environmental Affairs
<b>Position held:</b>	Junior Researcher
<b>Project:</b>	<b>Green skills opportunities in mining and minerals sector (MMS)</b>
<b>Year:</b>	2017
<b>Location:</b>	Johannesburg, Gauteng
<b>Client:</b>	Mining Qualification Authority (MQA)
<b>Position held:</b>	Researcher

**Countries of Work Experience:**

- South Africa

**References:****Contact details:**

- Elena Broughton
- Email: [elena@urban-econ.com](mailto:elena@urban-econ.com)
- Cell: +27 82 463 2325

**Contact details:**

- Linda Godfrey
- Email: [LGodfrey@csir.co.za](mailto:LGodfrey@csir.co.za)
- Cell Phone: +27 82 339 0871

**Contact details:**

- Sheona Shackleton



- Email: [S.Shackleton@ru.ac.za](mailto:S.Shackleton@ru.ac.za)
- Cell Phone: +27 82 889 4075



**Appendix 3**  
**Declarations of Interest and the EAP**  
**Affirmation**





## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF EAP AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)
	To be confirmed.
NEAS Reference Number:	DEA/EIA
Date Received:	

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Environmental Assessment Practitioner (EAP):	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreas@sivest.co.za">andreas@sivest.co.za</a>		
Professional affiliation(s) (if any)			

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Stephan Jacobs		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 737 2114
Telephone:	011 798 0600	Fax:	011 803 7272
E-mail:	<a href="mailto:stephanj@sivest.co.za">stephanj@sivest.co.za</a>		

#### 4.2 The Environmental Assessment Practitioner

I, Stephan Jacobs , declare that –

General declaration:

I act as the independent environmental practitioner in this application;  
I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;  
I declare that there are no circumstances that may compromise my objectivity in performing such work;  
I have expertise in conducting environmental impact assessments, including knowledge of the Act, regulations and any guidelines that have relevance to the proposed activity;  
I will comply with the Act, Regulations and all other applicable legislation;  
I will take into account, to the extent possible, the matters listed in regulation 8 of the Regulations when preparing the application and any report relating to the application;  
I have no, and will not engage in, conflicting interests in the undertaking of the activity;  
I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;  
I will ensure that information containing all relevant facts in respect of the application is distributed or made available to interested and affected parties and the public and that participation by interested and affected parties is facilitated in such a manner that all interested and affected parties will be provided with a reasonable opportunity to participate and to provide comments on documents that are produced to support the application;  
I will ensure that the comments of all interested and affected parties are considered and recorded in reports that are submitted to the competent authority in respect of the application, provided that comments that are made by interested and affected parties in respect of a final report that will be submitted to the competent authority may be attached to the report without further amendment to the report;  
I will keep a register of all interested and affected parties that participated in a public participation process;  
I will provide the competent authority with access to all information at my disposal regarding the application, whether such information is favourable to the applicant or not;  
all the particulars furnished by me in this form are true and correct;  
will perform all other obligations as expected from an environmental assessment practitioner in terms of the Regulations; and  
I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.

**Disclosure of Vested Interest (delete whichever is not applicable)**

I do not have and will not have any vested interest (either business, financial, personal or other) in the proposed activity proceeding other than remuneration for work performed in terms of the Environmental Impact Assessment Regulations, 2014;

~~— I have a vested interest in the proposed activity proceeding, such vested interest being:~~

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Signature of the environmental assessment practitioner:

SiVEST SA (Pty) Ltd

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Name of company:

11 December 2017

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Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF EAP AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)	
	To be confirmed.	
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- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
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### PROJECT TITLE

<b>Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province</b>
--

Environmental Assessment Practitioner (EAP):	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreas@sivest.co.za">andreas@sivest.co.za</a>		
Professional affiliation(s) (if any)			

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Stephan Jacobs		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 737 2114
Telephone:	011 798 0600	Fax:	011 803 7272
E-mail:	<a href="mailto:stephanj@sivest.co.za">stephanj@sivest.co.za</a>		



#### 4.2 The Environmental Assessment Practitioner

I, Andrea Gibb , declare that –

##### General declaration:

I act as the independent environmental practitioner in this application;  
I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;  
I declare that there are no circumstances that may compromise my objectivity in performing such work;  
I have expertise in conducting environmental impact assessments, including knowledge of the Act, regulations and any guidelines that have relevance to the proposed activity;  
I will comply with the Act, Regulations and all other applicable legislation;  
I will take into account, to the extent possible, the matters listed in regulation 8 of the Regulations when preparing the application and any report relating to the application;  
I have no, and will not engage in, conflicting interests in the undertaking of the activity;  
I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;  
I will ensure that information containing all relevant facts in respect of the application is distributed or made available to interested and affected parties and the public and that participation by interested and affected parties is facilitated in such a manner that all interested and affected parties will be provided with a reasonable opportunity to participate and to provide comments on documents that are produced to support the application;  
I will ensure that the comments of all interested and affected parties are considered and recorded in reports that are submitted to the competent authority in respect of the application, provided that comments that are made by interested and affected parties in respect of a final report that will be submitted to the competent authority may be attached to the report without further amendment to the report;  
I will keep a register of all interested and affected parties that participated in a public participation process;  
I will provide the competent authority with access to all information at my disposal regarding the application, whether such information is favourable to the applicant or not;  
all the particulars furnished by me in this form are true and correct;  
will perform all other obligations as expected from an environmental assessment practitioner in terms of the Regulations; and  
I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.

**Disclosure of Vested Interest (delete whichever is not applicable)**

I do not have and will not have any vested interest (either business, financial, personal or other) in the proposed activity proceeding other than remuneration for work performed in terms of the Environmental Impact Assessment Regulations, 2014;

~~— I have a vested interest in the proposed activity proceeding, such vested interest being:~~

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---



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Signature of the environmental assessment practitioner:

SiVEST SA (Pty) Ltd

---

Name of company:

11 December 2017

---

Date:

Your reference:

Our reference: 13622 – Grid

Date: 11 December 2017

**AFFIRMATION BY ENVIRONMENTAL ASSESSMENT PRACTITIONER IN TERMS OF APPENDIX 2 AND 3 OF THE EIA REGULATIONS, 2014**

**PROJECT TITLE**

Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province

Environmental Assessment Practitioner (EAP):

SIVEST SA (Pty) Ltd

Contact person:

Andrea Gibb

Postal address:

P O Box 2921, Rivonia, South Africa

Postal code:

2128

Cell:

072 587 6525

Telephone:

011 798 0638

Fax:

011 803 7272

E-mail:

[andreag@sivest.co.za](mailto:andreag@sivest.co.za)

I, \_\_\_\_\_ Stephan Jacobs \_\_\_\_\_, the appointed EAP confirm through this affirmation (as required in terms of Appendix 1 subsection (3) (r) of GN982) that –

- i) The correctness of the information provided in the reports;
- ii) The inclusion of comments and inputs from stakeholders and I&APs;
- iii) The inclusion of inputs and recommendations from the specialist reports where relevant; and
- iv) Any information provided by the EAP to interested and affected parties and any responses by the EAP to comments or inputs made by interested and affected parties.



Signature of the environmental assessment practitioner:

SIVEST SA (Pty) Ltd

Name of company:

11 December 2017

Date:

Your reference:

Our reference: 13622 – Grid

Date: 11 December 2017

**AFFIRMATION BY ENVIRONMENTAL ASSESSMENT PRACTITIONER IN TERMS OF APPENDIX 2 AND 3 OF THE EIA REGULATIONS, 2014**

**PROJECT TITLE**

Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province

Environmental Assessment Practitioner (EAP):

SivEST SA (Pty) Ltd

Contact person:

Andrea Gibb

Postal address:

P O Box 2921, Rivonia, South Africa

Postal code:

2128

Cell:

072 587 6525

Telephone:

011 798 0638

Fax:

011 803 7272

E-mail:

[andreag@sivest.co.za](mailto:andreag@sivest.co.za)

I, Andrea Gibb, the appointed EAP confirm through this affirmation (as required in terms of Appendix 1 subsection (3) (r) of GN982) that –

- i) The correctness of the information provided in the reports;
- ii) The inclusion of comments and inputs from stakeholders and I&APs;
- iii) The inclusion of inputs and recommendations from the specialist reports where relevant; and
- iv) Any information provided by the EAP to interested and affected parties and any responses by the EAP to comments or inputs made by interested and affected parties.



Signature of the environmental assessment practitioner:

SivEST SA (Pty) Ltd

Name of company:

11 December 2017

Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)
NEAS Reference Number:	To be confirmed.
Date Received:	DEA/EIA

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Specialist:	3Foxes Biodiversity Solutions		
Contact person:	Simon Todd		
Postal address:	60 Forrest Way, Glencairn		
Postal code:	7975	Cell:	0823326502
Telephone:	021 782 0377	Fax:	
E-mail:	Simon.Todd@3foxes.co.za		
Professional affiliation(s) (if any)	SACNASP Pr.Sci.Nat 400425/11		

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Simon Todd , declare that --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

---

3Foxes Biodiversity Solutions

Name of company (if applicable):

---

11 December 2017

Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

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- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
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### PROJECT TITLE

Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province

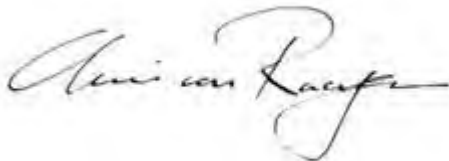
Specialist:	Chris van Rooyen Consulting		
Contact person:	Chris van Rooyen		
Postal address:	30 Roosevelt Street, Robindale, Randburg		
Postal code:	2194	Cell:	082 4549570
Telephone:	-	Fax:	-
E-mail:	Vanrooyen.chris@gmail.com		
Professional affiliation(s) (if any)	-		

Project Consultant:	SIVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, ~~Chris van Rooyen~~, declare that -- General declaration:

I act as the independent specialist in this application;  
I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;  
I declare that there are no circumstances that may compromise my objectivity in performing such work;  
I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;  
I will comply with the Act, Regulations and all other applicable legislation;  
I have no, and will not engage in, conflicting interests in the undertaking of the activity;  
I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;  
all the particulars furnished by me in this form are true and correct; and  
I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

Chris van Rooyen Consulting

---

Name of company (if applicable):

11 December 2017

---

Date:





## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

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Application for integrated environmental authorisation and waste management licence in terms of the-

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- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Specialist:	SiVEST SA (Pty) Ltd		
Contact person:	Shaun Taylor		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 779 4899
Telephone:	011 798 0691	Fax:	011 803 7272
E-mail:	<a href="mailto:shaunt@sivest.co.za">shaunt@sivest.co.za</a>		
Professional affiliation(s) (if any)	South African Wetland Society (SAWS)		

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Shaun Taylor \_\_\_\_\_, declare that --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

SiVEST SA (Pty) Ltd

---

Name of company (if applicable):

6 December 2017

---

Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


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(2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and

Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Specialist:	<b>Private Soil Science Consultant</b>	
Contact person:	<b>Johann Lanz</b>	
Postal address:	<b>P.O. Box 6209, UNIEDAL</b>	
Postal code:	<b>7612</b>	Cell: <b>082 927 9018</b>
Telephone:	<b>021 866 1518</b>	Fax:
E-mail	<b>johann@johannlanz.co.za</b>	
Professional affiliation(s) (if any)	<b>South African Council for Natural Scientific Professions; Soil Science Society of SA</b>	

Project Consultant:	<b>SiVEST SA (Pty) Ltd</b>	
Contact person:	<b>Andrea Gibb</b>	
Postal address:	<b>PO Box 2921, Rivonia, South Africa</b>	
Postal code:	<b>2128</b>	Cell: <b>072 587 6525</b>
Telephone:	<b>011 798 0638</b>	Fax: <b>011 803 7272</b>
E-mail	<b>andrag@sivest.co.za</b>	

#### 4.2 The specialist appointed in terms of the Regulations

I, **Johann Lanz**, declare that

General declaration:

- I act as the independent specialist in this application
- I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant
- I declare that there are no circumstances that may compromise my objectivity in performing such work;
- I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, regulations and any guidelines that have relevance to the proposed activity;
- I will comply with the Act, regulations and all other applicable legislation;
- I have no, and will not engage in, conflicting interests in the undertaking of the activity;
- I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;
- all the particulars furnished by me in this form are true and correct; and
- I realise that a false declaration is an offence in terms of Regulation 71 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

**Johann Lanz – Soil Scientist (sole proprietor)**

---

Name of company (if applicable):

**08 December 2017**

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Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)
NEAS Reference Number:	To be confirmed.
Date Received:	DEA/EIA

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province

Specialist:	Heritage		
Contact person:	Wouter Fourie – PGS Heritage Pty Ltd		
Postal address:	PO Box 32542, Totiusdal		
Postal code:	0134	Cell:	0828513575
Telephone:	012 332 5305	Fax:	
E-mail:	wouter@pgsheritage.co.za		
Professional affiliation(s) (if any)	ASAPA – Professional Member – CRM accredited APHP – Professional Member		

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Wouter Fourie, declare that --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.

  
\_\_\_\_\_  
Signature of the specialist:

PGS Heritage (Pty) Ltd  
\_\_\_\_\_  
Name of company (if applicable):

4 December 2017  
\_\_\_\_\_  
Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

	(For official use only)
File Reference Number:	To be confirmed.
NEAS Reference Number:	DEA/EIA
Date Received:	

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Specialist:	SiVEST SA (Pty) Ltd		
Contact person:	Stephan Jacobs		
Postal address:	P.O. box 2921, Rivonia, Johannesburg, South Africa		
Postal code:	2128	Cell:	072 737 2114
Telephone:	011 798 0677	Fax:	011 803 7272
E-mail:	stephanj@sivest.co.za		
Professional affiliation(s) (if any)	None		

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, Johannesburg, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Stephan Jacobs , declare that --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

SIVEST SA (Pty) Ltd

---

Name of company (if applicable):

04 December 2017

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Date:





## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

	(For official use only)
File Reference Number:	To be confirmed.
NEAS Reference Number:	DEA/EIA
Date Received:	

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Specialist:	SIVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P.O. Box 2921, Rivonia, Johannesburg, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	andreag@sivest.co.za		
Professional affiliation(s) (if any)	None		

Project Consultant:	SIVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, Johannesburg, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Andrea Gibb, declare that --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

SiVEST SA (Pty) Ltd

---

Name of company (if applicable):

04 December 2017

---

Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)
NEAS Reference Number:	To be confirmed.
Date Received:	DEA/EIA

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province

Specialist:	Urban-Econ Development Economists		
Contact person:	Elena Broughton		
Postal address:	P.O. Box 13554, Hatfield, Pretoria		
Postal code:	0028	Cell:	082 463 2325
Telephone:	012 342 8686	Fax:	012 342 8688
E-mail:	<a href="mailto:elena@urban-econ.com">elena@urban-econ.com</a>		
Professional affiliation(s) (if any)	SAPOA Urban-Econ Development Economists		

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Elena Broughton, declare that, --

General declaration:

I act as the independent specialist in this application;  
I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;  
I declare that there are no circumstances that may compromise my objectivity in performing such work;  
I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;  
I will comply with the Act, Regulations and all other applicable legislation;  
I have no, and will not engage in, conflicting interests in the undertaking of the activity;  
I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;  
all the particulars furnished by me in this form are true and correct; and  
I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



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Signature of the specialist:

Urban-Econ Development Economists

Name of company (if applicable):

06 December 2017

Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)
NEAS Reference Number:	To be confirmed.
Date Received:	DEA/EIA

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province

Specialist:	Zimkita Nkata		
Contact person:	Urban-Econ Development Economists		
Postal address:	P.O. Box 13554, Hatfield, Pretoria		
Postal code:	0028	Cell:	083 9740 167
Telephone:	012 342 8686	Fax:	012 342 8688
E-mail:	<a href="mailto:zimkita@urban-econ.com">zimkita@urban-econ.com</a>		
Professional affiliation(s) (if any)	SAPOA Urban-Econ Development Economists		

Project Consultant:	SiVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Zimkita Nkata, declare that, --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

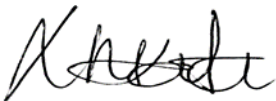
I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



---

Signature of the specialist:

Urban-Econ Development Economists

---

Name of company (if applicable):

06 December 2017

---

Date:



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


### DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

File Reference Number:	(For official use only)
NEAS Reference Number:	To be confirmed.
Date Received:	DEA/EIA

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

### PROJECT TITLE

**Proposed Construction of the Ithemba On-site Eskom Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province**

Specialist:  
Contact person:  
Postal address:  
Postal code:  
Telephone:  
E-mail:  
Professional affiliation(s) (if any)

Michiel Jonker		
Michiel Jonker		
3 Aandblom Street Florida Park		
1710	Cell:	0845857479
0116721375		
michiel@ecotone-sa.co.za		
SACNASP: Pri Sci Nat: 400275/12		

Project Consultant:  
Contact person:  
Postal address:  
Postal code:  
Telephone:  
E-mail:

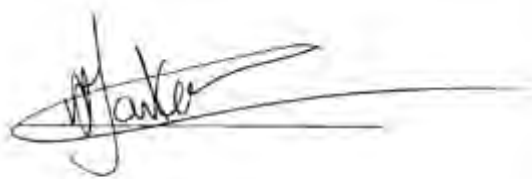
SiVEST SA (Pty) Ltd		
Andrea Gibb		
P O Box 2921, Rivonia, South Africa		
2128	Cell:	072 587 6525
011 798 0638	Fax:	011 803 7272
<a href="mailto:andreag@sivest.co.za">andreag@sivest.co.za</a>		

4.2 The specialist appointed in terms of the Regulations\_

I, Michiel Jonker \_\_\_\_\_, declare that --

General declaration:

I act as the independent specialist in this application;  
I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;  
I declare that there are no circumstances that may compromise my objectivity in performing such work;  
I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;  
I will comply with the Act, Regulations and all other applicable legislation;  
I have no, and will not engage in, conflicting interests in the undertaking of the activity;  
I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;  
all the particulars furnished by me in this form are true and correct; and  
I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



\_\_\_\_\_  
Signature of the specialist:

Ecotone Freshwater Consultants

\_\_\_\_\_  
Name of company (if applicable):

8 December 8, 2017

\_\_\_\_\_  
Date:





# environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA


## DETAILS OF SPECIALIST AND DECLARATION OF INTEREST

File Reference Number: NEAS Reference Number: Date Received:	(For official use only)
	To be confirmed.
	DEA/EIA

Application for integrated environmental authorisation and waste management licence in terms of the-

- (1) National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended and the Environmental Impact Assessment Regulations, 2014; and
- (2) National Environmental Management Act: Waste Act, 2008 (Act No. 59 of 2008) and Government Notice 921, 2013

## PROJECT TITLE

<b>Proposed Construction of the Ithemba On-site IPP Substation, Linking Substation and Associated 132kV Power Line near Loeriesfontein, Northern Cape Province</b>
--

Specialist:	Visual		
Contact person:	K. Allan		
Postal address:	P.O. Box 1969 Westville		
Postal code:	3610	Cell:	072 192 2190
Telephone:	031 279 1200	Fax:	031 279 1200
E-mail:	kallan@srk.co.za		
Professional affiliation(s) (if any)	SACNASP		

Project Consultant:	SIVEST SA (Pty) Ltd		
Contact person:	Andrea Gibb		
Postal address:	P O Box 2921, Rivonia, South Africa		
Postal code:	2128	Cell:	072 587 6525
Telephone:	011 798 0638	Fax:	011 803 7272
E-mail:	andreag@sivest.co.za		

4.2 The specialist appointed in terms of the Regulations\_

I, K. All, declare that --

General declaration:

I act as the independent specialist in this application;

I will perform the work relating to the application in an objective manner, even if this results in views and findings that are not favourable to the applicant;

I declare that there are no circumstances that may compromise my objectivity in performing such work;

I have expertise in conducting the specialist report relevant to this application, including knowledge of the Act, Regulations and any guidelines that have relevance to the proposed activity;

I will comply with the Act, Regulations and all other applicable legislation;

I have no, and will not engage in, conflicting interests in the undertaking of the activity;

I undertake to disclose to the applicant and the competent authority all material information in my possession that reasonably has or may have the potential of influencing - any decision to be taken with respect to the application by the competent authority; and - the objectivity of any report, plan or document to be prepared by myself for submission to the competent authority;

all the particulars furnished by me in this form are true and correct; and

I realise that a false declaration is an offence in terms of regulation 48 and is punishable in terms of section 24F of the Act.



Signature of the specialist:

SRK CONSULTING

Name of company (if applicable):

08-12-2017

Date:



## **Appendix 4**

# **Authority Consultation**





## environmental affairs

Department:  
Environmental Affairs  
**REPUBLIC OF SOUTH AFRICA**

Private Bag X 447 · PRETORIA · 0001 · Environment House · 473 Steve Biko Road, Arcadia · PRETORIA

**DEA Reference:** 14/12/16/3/3/1/1867

**Enquiries:** Juliet Mahlangu

**Tel:** 012 399 9320 **E-mail:** [jmmahlangu@environment.gov.za](mailto:jmmahlangu@environment.gov.za)

Andrea Gibb  
SiVest SA (Pty) Ltd  
P O Box 2921  
**RIVONIA**  
2128

Tel: 011 798 0600

Email: [andrea@sivest.co.za](mailto:andrea@sivest.co.za)

### **PER EMAIL / MAIL**

Dear Sir/Madam

### **ACKNOWLEDGEMENT OF RECEIPT OF THE NEW APPLICATION FOR ENVIRONMENTAL AUTHORISATION (BASIC ASSESSMENT PROCESS) AND DRAFT BASIC ASSESSMENT REPORT FOR THE PROPOSED CONSTRUCTION OF THE Ithemba ON-SITE Eskom Substation, Linking Substation and Associated 132KV Power Line near Loeriesfontein, Northern Cape Province**

The Department confirms having received the Application for Environmental Authorisation and Draft Basic Assessment Report for the abovementioned project on 08 January 2018. You have submitted these documents to comply with the Environmental Impact Assessment (EIA) Regulations, 2014, as amended.

Please take note of Regulation 40(3) of the EIA Regulations, 2014, as amended, which states that potential Interested & Affected Parties, including the Competent Authority, may be provided with an opportunity to comment on reports and plans contemplated in Regulation 40(1) of the EIA Regulations, 2014, as amended, prior to the submission of an application but must be provided an opportunity to comment on such reports once an application has been submitted to the Competent Authority.

Note that in terms of Regulation 45 of the EIA Regulations, 2014, as amended, this application will lapse if the applicant fails to meet any of the time-frames prescribed in terms of these Regulations, unless an extension has been granted by the Department in terms of Regulation 3(7) of the EIA Regulations, 2014, as amended.

You are hereby reminded of Section 24F of the National Environmental Management Act, Act No. 107 of 1998, as amended, that no activity may commence prior to an Environmental Authorisation being granted by the Department.

Kindly quote the abovementioned reference number in any future correspondence in respect of the application.

Yours Sincerely



**Mr Sabelo Malaza**

**Chief Director: Integrated Environmental Authorisations**

**Department of Environmental Affairs:**

**Letter signed by: Ms Toinette van der Merwe**

**Designation: Environmental Officer: EIA Coordination, Strategic Planning and Support**

**Date:** 10/01/2018

CC:	Mr Michael Mangnall	South African Mainstream Renewable Power Developments (Pty) Ltd	Email: mike.mangnall@mainstreamrp.com
	Brian Fisher	NCDENC	Email: bfisher@ncpg.gov.za



## environmental affairs

Department:  
Environmental Affairs  
REPUBLIC OF SOUTH AFRICA

Private Bag X 447· PRETORIA · 0001· Environment House · 473 Steve Biko Road · Arcadia · PRETORIA  
Tel (+ 27 12) 399 9372

DEA Reference: 14/12/16/3/3/1/1867

Enquiries: Mr Lunga Dlova

Telephone: (012) 399 8524 E-mail: [LDlova@environment.gov.za](mailto:LDlova@environment.gov.za)

Mr Andrea Gibb  
SiVEST SA (Pty) Ltd  
PO Box 2921  
RIVONIA  
2128

Telephone Number: (011) 798 0600  
Email Address: [andreaq@sivest.co.za](mailto:andreaq@sivest.co.za)

### PER E-MAIL / MAIL

Dear Mr Gibb

### COMMENTS ON THE DRAFT BASIC ASSESSMENT REPORT FOR THE PROPOSED CONSTRUCTION OF THE Ithemba ON-SITE Eskom Substation, Linking Substation and Associated 132KV Power Line near Loeriesfontein, Northern Cape Province

The draft Basic Assessment Report (BAR) received by this Department on 08 January 2018 refers.

This Department has the following comments on the abovementioned application:

- i. Please ensure that all relevant listed activities are applied for, are specific and that it can be linked to the development activity or infrastructure as described in the project description.
- ii. The two specialist studies, namely: The Visual Impact Assessment and Surface Water Assessment, which were conducted by in-house specialists do not comply with regulation 13(1)(a) and therefore these studies must be externally reviewed by specialists in compliance with regulations 13(2) and 13(3) of the EIA regulations, 2014, as amended.
- iii. This Department requires a **cumulative impact assessment** to be undertaken in the final BAR to determine potential fatal flaws.
- iv. You are required to provide the exact height of the towers and the area which is to be covered by the proposed power line towers in the final design stages. In addition, the heights of the proposed On-site and linking substations must be determined in the final design stages.
- v. You are advised to provide a clear indication on your map legends, i.e. the power line route options, with clear and different colours.
- vi. Please ensure that all issues raised and comments received during the circulation of the draft BAR from registered I&AP's and organs of state which have jurisdiction (including this Department's Biodiversity Section) in respect of the proposed activity are adequately addressed in the final BAR.
- vii. Proof of correspondence with the various stakeholders must be included in the final BAR. Should you be unable to obtain comments, proof should be submitted to the Department of the attempts that were made to obtain comments. The Public Participation Process must be conducted in terms of Regulation 39, 40, 41, 42, 43 & 44 of the EIA Regulations 2014.
- viii. Please provide a description of any identified alternatives for the proposed activity that are feasible and reasonable, including the advantages and disadvantages that the proposed activity or alternatives will have on the environment and on the community that may be affected by the activity as per Appendix 1

- (2) (e) and 3 (1) (h) (i) of GN R.982 of 2014. Alternatively, you should submit written proof of an investigation and motivation if no reasonable or feasible alternatives exist in terms of Appendix 1.
- ix. You are further reminded that the final BAR to be submitted to this Department must comply with all the requirements in terms of the scope of assessment and content of Basic Assessment reports in accordance with Appendix 1 and Regulation 19(1) of the EIA Regulations, 2014.

The Environmental Management Programme (EMPr) to be submitted as part of the BAR must include the following:

- i. All recommendations and mitigation measures recorded in the BAR and the specialist studies conducted.
- ii. The final preferred route layout map.
- iii. An environmental sensitivity map indicating environmental sensitive areas and features identified during the assessment process.
- iv. A map combining the final preferred route layout map superimposed (overlain) on the environmental sensitivity map.
- v. An alien invasive management plan to be implemented during construction and operation of the power line. The plan must include mitigation measures to reduce the invasion of alien species and ensure that the continuous monitoring and removal of alien species is undertaken.
- vi. A plant rescue and protection plan which allows for the maximum transplant of conservation important species from areas to be transformed. This plan must be compiled by a vegetation specialist familiar with the site and be implemented prior to commencement of the construction phase.
- vii. A re-vegetation and habitat rehabilitation plan to be implemented during the construction and operation of the facility. Restoration must be undertaken as soon as possible after completion of construction activities to reduce the amount of habitat converted at any one time and to speed up the recovery to natural habitats.
- viii. A traffic management plan for the site access roads to ensure that no hazards would result from the increased truck traffic and that traffic flow would not be adversely impacted. This plan must include measures to minimize impacts on local commuters e.g. limiting construction vehicles travelling on public roadways during the morning and late afternoon commute time and avoid using roads through densely populated built-up areas so as not to disturb existing retail and commercial operations.
- ix. A transportation plan for the transport of components, main assembly cranes and other large pieces of equipment.
- x. A fire management plan to be implemented during the construction and operation of the power line.
- xi. An erosion management plan for monitoring and rehabilitating erosion events associated with the power line. Appropriate erosion mitigation must form part of this plan to prevent and reduce the risk of any potential erosion.
- xii. An effective monitoring system to detect any leakage or spillage of all hazardous substances during their transportation, handling, use and storage. This must include precautionary measures to limit the possibility of oil and other toxic liquids from entering the soil or storm water systems.
- xiii. Measures to protect hydrological features such as streams, rivers, pans, wetlands, dams and their catchments, and other environmental sensitive areas from construction impacts including the direct or indirect spillage of pollutants.

### General Comments

You are hereby reminded that should the BAR fail to comply with the requirements of this letter, the application for environmental authorisation may be refused.

The applicant is hereby reminded to comply with the requirements of Regulation 45 with regard to the time period allowed for complying with the requirements of the Regulations, and Regulations 43 and 44 with regard to the allowance of a comment period for interested and affected parties on all reports submitted to the competent authority for decision-making. The reports referred to are listed in Regulation 43(1).



Furthermore, it must be reiterated that, should an application for Environmental Authorisation be subject to the provisions of Chapter II, Section 38 of the National Heritage Resources Act, Act 25 of 1999, then this Department will not be able to make nor issue a decision in terms of your application for Environmental Authorisation pending a letter from the pertinent heritage authority categorically stating that the application fulfils the requirements of the relevant heritage resources authority as described in Chapter II, Section 38(8) of the National Heritage Resources Act, Act 25 of 1999. Comments from SAHRA and/or the provincial department of heritage must be provided in the BAR.

Please also find attached information that must be used in the preparation of the BAR. This will enable the Department to speedily review the BAR and make a decision on the application.

You are hereby reminded of Section 24F of the National Environmental Management Act, Act No 107 of 1998, as amended, which stipulates that no activity may commence prior to an Environmental Authorisation being granted by the Department.

Further note that in terms of Regulation 45 of the EIA Regulations 2014, this application will lapse if the applicant fails to meet any of the timeframes prescribed in terms of these Regulations, unless an extension has been granted in terms of Regulation 3(7).

Yours faithfully



**Mr Sabelo Malaza**

**Chief Director: Integrated Environmental Authorisations**

**Department of Environmental Affairs**

**Letter signed by: Ms Pumeza Skepe-Mngcita**

**Deputy Director: CIPS& S24G**

**Date: 02/02/2018**

cc:	Mr Michael Mangnall	South African Mainstream Renewable Power Developments (Pty) Ltd	Email: <a href="mailto:mike.mangnall@mainstreamrp.com">mike.mangnall@mainstreamrp.com</a>
	Mr Brian Fisher	NCDENC	Email: <a href="mailto:bfisher@ncpg.gov.za">bfisher@ncpg.gov.za</a>

## Andrea Gibb

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**From:** Stephan Jacobs  
**Sent:** Friday, 19 January 2018 12:45 PM  
**To:** jmmahlangu@environment.gov.za  
**Cc:** Andrea Gibb; Hlengiwe Ntuli; Rebecca Thomas (rebecca.thomas@mainstreamrp.com)  
**Subject:** SAHRA Comments for DBAR Review: 14/12/16/3/3/1/1869; 14/12/16/3/3/1/1868; 14/12/16/3/3/1/1867 and 14/12/16/3/3/1/1870  
**Attachments:** 20180118 SAHRA Interim Comment GS Grid - Case 12077.pdf; 20180118 SAHRA Interim Comment XB Grid - Case 12081.pdf; 20180118 SAHRA Final Comment HL Grid - Case 12078.pdf; 20180118 SAHRA Interim Comment Ithemba Grid - Case 12082.pdf  
**Importance:** High

Good Day Mrs. Mahlangu,

I trust you are well.

Please find attached Interim and Final comments which SiVEST received from SAHRA on the 18<sup>th</sup> of January 2018 with regards to the following proposed projects:

- **GRASKOPIES ON-SITE ESKOM SUBSTATION, LINKING SUBSTATION AND ASSOCIATED 132kV POWER LINE NEAR LOERIESFONTEIN – DEA REF NO.: 14/12/16/3/3/1/1869;**
- **HARTEBEEST LEEGTE ON-SITE ESKOM SUBSTATION, LINKING SUBSTATION AND ASSOCIATED 132kV POWER LINE NEAR LOERIESFONTEIN – DEA REF NO.: 14/12/16/3/3/1/1868;**
- **ITHEMBA ON-SITE ESKOM SUBSTATION, LINKING SUBSTATION AND ASSOCIATED 132kV POWER LINE NEAR LOERIESFONTEIN – DEA REF NO.: 14/12/16/3/3/1/1867; and**
- **GRASKOPIES ON-SITE ESKOM SUBSTATION, LINKING SUBSTATION AND ASSOCIATED 132kV POWER LINE NEAR LOERIESFONTEIN – DEA REF NO.: 14/12/16/3/3/1/1870;**

The Acknowledgement of Receipt Letters from the DEA for the Application Forms and Draft Basic Assessment Reports (DBARs) for the above-mentioned projects listed you as the contact person for enquiries. **As such, please could you forward the attached comments from SAHRA to the relevant Case Officers for consideration in their review of the respective DBARs.**

Your assistance will be greatly appreciated.

Please do not hesitate to contact me should there be any issues or should you have any enquiries.

Kind Regards,

**Stephan Jacobs** (*B.Sc.(Hons) Environmental Management and Analysis*)

Environmental Consultant

**SiVEST Environmental Division**



SiVEST is a Level 3 BBBEE Contributor

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**Consulting Engineers - Project Managers - Environmental Consultants - Town and Regional Planners - Quality Management Consultants**  
Durban - Johannesburg - Pretoria - Pietermaritzburg - Richards Bay - Port Louis (Mauritius)